

**UNITED STATES OF AMERICA
BEFORE THE
FEDERAL ENERGY REGULATORY COMMISSION**

**Joint Staff White Paper on Notices of)
Penalty Pertaining to Violations of Critical)
Infrastructure Protection Reliability Standards)**

Docket No. AD19-18-000

Comments and Alternate Proposal

Submitted to FERC on September 3, 2019

Michael Mabee, a private citizen, respectfully submits comments and an alternate proposal on FERC Docket No. AD19-18-000, Joint Staff White Paper on Notices of Penalty Pertaining to Violations of Critical Infrastructure Protection Reliability Standards. First of all, I commend the Federal Energy Regulatory Commission (FERC) and the North American Electric Reliability Corporation (NERC) for proposing to seek more transparency in Notice of Penalty (NOP) filings. Such public transparency is critical to the security of the bulk power system as it provides an incentive for companies to comply with mandatory Critical Infrastructure Protection (CIP) standards. It also provides the means for public, investor, Congressional and state scrutiny and evaluation of the violators and the regulatory system.

Introduction

“Publicity is justly commended as a remedy for social and industrial diseases. Sunlight is said to be the best of disinfectants; electric light the most efficient policeman.”

– Justice Louis D. Brandeis

Background and Public Interest in the Identities of CIP Violators

On February 28, 2018 NERC submitted a proposed Notice of Penalty to FERC on an “Unidentified Registered Entity” in Docket No. NP18-7-000. This entity was fined \$2,700,000 for a massive cybersecurity breach that, according to NERC, posed a “serious or substantial risk” to the electric grid. This cybersecurity breach and the subsequent Notice of Penalty garnered

much press attention.¹ Some of the press articles speculated that the “Unidentified Registered Entity” was actually PG&E Corp.² After numerous citizens intervened unsuccessfully in the docket, I filed a Freedom of Information Act (FOIA) request for the identity of the violator.³ The press began to report on the issue of citizens demanding that the names of CIP violators be released.⁴ FERC initially denied my FOIA request, necessitating that I file an appeal. Finally, on August 24, 2018, FERC released the name of the CIP violator (PG&E Corp.) to me. This information was reported on my blog⁵ and in the press.⁶

This particular Notice of Penalty in Docket No. NP18-7-000 garnered a great deal of public comment as well as press coverage. This demonstrated that the identity of a CIP violator is a matter of legitimate public interest. It is important to note that to this day, the name of the violator in this docket is only available on my website and in the press articles. It has still not

¹ Blake Sobczak, E&E News. “Grid regulator issues ‘massive’ penalty over data exposure.” March 5, 2018. <https://www.eenews.net/energywire/stories/1060075377/print> (accessed August 31, 2019); Energy Policy Update. “NERC fines utility \$2.7 million for cyber breach.” March 9, 2018. <http://energypolicyupdate.blogspot.com/2018/03/nerc-fines-utility-27-million-for-cyber-breach.html> (accessed August 31, 2019); Morgan Lewis. “Data Exposure by Vendor Leads to \$2.7 Million NERC Penalty for Utility.” March 9, 2018. <https://www.jdsupra.com/legalnews/data-exposure-by-vendor-leads-to-2-7-30103/> (accessed August 31, 2019); Dell Cameron, Gizmodo. “US Power Company Fined \$2.7 Million Over Security Flaws Impacting ‘Critical Assets’.” March 13, 2018. <https://gizmodo.com/us-power-company-fined-2-7-million-over-security-flaws-1823745994> (accessed August 31, 2019); Eduard Kovacs, SecurityWeek. “U.S. Energy Firm Fined \$2.7 Million Over Data Security Incident.” March 14, 2018. <https://www.securityweek.com/us-energy-firm-fined-27-million-over-data-security-incident> (accessed August 31, 2019).

² Schwartz, Matthew J. BankInfoSecurity. “US Power Company Fined \$2.7 Million Over Data Exposure.” March 14, 2018. <https://www.bankinfosecurity.com/us-power-company-fined-27-million-over-data-exposure-a-10715> (accessed August 31, 2019); Cameron, Dell. Gizmodo. “US Power Company Fined \$2.7 Million Over Security Flaws Impacting ‘Critical Assets’.” March 13, 2018. <https://gizmodo.com/us-power-company-fined-2-7-million-over-security-flaws-1823745994> (accessed August 31, 2019).

³ FOIA No. 2018-0075, submitted to FERC on April 13, 2018.

⁴ Blake Sobczak, E&E News. “FERC pressed to name names in cybersecurity fine.” April 17, 2018. <https://www.eenews.net/energywire/stories/1060079243> (accessed August 31, 2019); Alison Noon. Law360. “FERC Pressured To Disclose Cybersecurity Violators.” February 19, 2019. <https://www.law360.com/articles/1130454/ferc-pressured-to-disclose-cybersecurity-violators> (accessed August 31, 2019).

⁵ See report: “PG&E endangered the grid – and tried to cover it up.” <https://michaelmabee.info/pge-endangered-the-grid/> (accessed September 1, 2019).

⁶ Rebecca Smith. Wall Street Journal. “PG&E Identified as Utility That Lost Control of Confidential Information” August 24, 2018. <https://www.wsj.com/articles/pg-e-identified-as-utility-that-lost-control-of-confidential-information-1535145850> (accessed August 31, 2019); Max A. Cherney. MarketWatch. “PG&E named as utility fined \$2.7 million for cybersecurity breach.” August 24, 2018. <https://www.marketwatch.com/story/pge-named-as-utility-fined-27-million-for-cybersecurity-breach-2018-08-24> (accessed August 31, 2019).

been released to FERC's public docket or on NERC's website. So even with names that are released under FOIA, a transparency issue remains.

After conducting extensive research, I determined that beginning on July 6, 2010, NERC began withholding the identities of the entities subject to regulatory action in Critical Infrastructure Protection (CIP) reliability standard Notices of Penalty submitted to FERC. (Prior to July 6, 2010, identities of CIP standards violators were disclosed by both NERC and FERC – see Exhibit A.) In fact, as of August 31, 2019 there have been a total of 255 FERC dockets involving almost 1,500 “Unidentified Registered Entities” or “UREs”, which is the industry euphemism for a CIP violator whose name is being withheld from the public.

I currently have FOIA requests filed for 253 out of these 255 dockets.⁷ Note that my FOIA requests do not include all of the “Find, Fix and Track” (FFT) and “Compliance Exemption” (CE) cases. These FFT and CE cases are very difficult for the public to find, analyze and also must be included in this transparency initiative. The release of names of “Unidentified Registered Entities” pursuant to my FOIA requests has garnered additional press interest.⁸ Upon information and belief, several other FOIA requests for Notices of Penalty cases were filed with FERC after I filed my initial FOIAs.⁹ On February 5, 2019, I filed a petition for rulemaking to require the disclosure of the names of regulatory violators.¹⁰ The Commission has not docketed my petition.

⁷ FOIA 2019-0019 for URE dockets from 2014-2018, FOIA 2019-0030 for URE dockets from 2010-2013 and FOIA 2019-0099 for URE dockets from January 2019 through July of 2019.

⁸ Rebecca Smith. Wall Street Journal. “PG&E Among Utilities Cited for Failing to Protect Against Cyber and Physical Attacks.” April 9, 2019. <https://www.wsj.com/articles/pg-e-among-utilities-cited-for-failing-to-protect-against-cyber-and-physical-attacks-11554821337> (Accessed August 31, 2019); Alison Noon. Law360. “FERC Pressured To Disclose Cybersecurity Violators.” February 19, 2019. <https://www.law360.com/articles/1130454/ferc-pressured-to-disclose-cybersecurity-violators> (accessed August 31, 2019).

⁹ The Commission should consider these NOPs “frequently requested records” under the Freedom of Information Act, 5 U.S.C. § 552(a)(2)(D)

¹⁰ Incorporated by reference: “Petition for Rulemaking to Require Disclosure of Names of Regulated Entities Subject to Regulatory Actions by the Commission or by the Electric Reliability Organization” FERC accession number 20190205-5150. <https://elibrary.ferc.gov/IDMWS/common/OpenNat.asp?fileID=15237718> (accessed September 1, 2019).

The Commission discussed this transparency issue at the June 27, 2019 FERC Reliability Technical Conference, and FERC was questioned on the transparency issue by the House Subcommittee on Energy on July 12, 2019.¹¹ Finally, on August 27, 2019, the Commission published a “white paper” and opened this administrative docket for public comment on the issue of disclosing the names of CIP violators.

The White Paper Proposal

The white paper proposes the following disclosure on NOP cases going forward:

“This White Paper proposes a new approach in which NERC would submit CIP NOPs containing a public cover letter and a confidential attachment. The cover letter would publically disclose:

- (1) the name of the violator,*
- (2) the Reliability Standard(s) violated (but not the requirement or subrequirement violated), and*
- (3) the penalty amount.*

NERC would provide details on the nature of the violation, mitigation activity, and potential vulnerabilities to cyber systems in a confidential attachment.”¹²

While I applaud the staffs of FERC and NERC for moving forward to engage in a public discussion about disclosure of the identities of CIP violators, the above proposal does not give the public, investors, Congress and other regulators the information needed to ensure that companies comply with their obligations to protect the critical infrastructure and to ensure that the regulatory system is working. Therefore, I propose an alternative approach.

Alternate Proposal

I have done a great deal of research, analysis and public dissemination of information about CIP violators and therefore believe I am well qualified to propose an alternate approach that will

¹¹ I incorporate by reference the two video clips on the transparency issue from 1) the June 27, 2019 FERC Reliability Technical Conference and 2) the July 12, 2019 House Subcommittee on Energy hearing. These video clips are available at: <https://michaelmabee.info/cip-coverup/> (accessed August 31, 2019).

¹² Joint Staff White Paper on Notices of Penalty Pertaining to Violations of Critical Infrastructure Protection Reliability Standards. Docket No. AD19-18-000, August 27, 2019. Page 10.

satisfy the public interest as well as protect the security interest of the critical infrastructure. In fact, you will note from my work that *my primary interest and goal* is the security of the electric grid.¹³

The White Paper proposal does not contain enough public information to allow for public, investor, Congressional and state scrutiny and evaluation of the violators and the regulatory system – activities that are critical to the security of the bulk power system.

I propose that the information required by the public, investors, Congress and state regulators consists of:

1. All information fields contained in the present NERC “Searchable NOP Spreadsheet”¹⁴ including the name of the entity disclosed in the “Registered Entity” field.
2. Date violation discovered.
3. Duration of violation
4. How violation was discovered (e.g., self-report, audit, etc.)
5. A plain English (non-technical) description of each violation.
6. Aggravating and mitigating factors in penalty assessment
7. Settlement agreement

Below is a more detailed description of each data point and the reason it is needed by the public, investors, Congress and state regulators.

1. All information fields contained in the present NERC “Searchable NOP Spreadsheet” including the name of the entity disclosed in the “Registered Entity” field.
 - a. **“Date”:** This is the date the NOP was filed with FERC. This information is necessary to determine when a NOP was filed, as well as for various statistical calculations. For example, examining trends of the dates the matters are filed with FERC with the date the violations were discovered and the dates the violations are mitigated provides information on the effectiveness of the regulatory system.

¹³ See <https://michaelmabee.info/> (accessed August 31, 2019).

¹⁴ Exhibit A is adapted from NERC’s “Searchable NOP Spreadsheet” <https://www.nerc.com/pa/comp/CE/Pages/Enforcement-and-Mitigation.aspx> (Information downloaded on August 29, 2019). It lists all CIP violations from Notices of Penalty from June 4, 2008 through August 31, 2019. One column was removed (“Regulatory Authority”) to allow the data to fit the width of the page.

- b. **“Regulatory Authority”**: This field is not necessary unless there is a situation where there could be a regulatory authority other than FERC.
- c. **“Regulatory Filing ID”**: This is the FERC “Docket Number” which is necessary in order to identify a case and to find documents related to the violation on FERC’s public system.
- d. **“Region”**: This is necessary in order to do statistical analysis based on geographic location. It is also necessary to do comparison and analysis of performance between regions. As an example, using this field, I was able to determine that there were at least four undisclosed violations of vegetation management standards for transmission lines in the Western Interconnection – the same region where over 86 deaths occurred in the “Camp Fire” – the deadliest and most destructive wildfire in California history.¹⁵ This is the same region where a “regulated entity” (PG&E) has significant liability for wildfires. These violations were mixed in with CIP violations and therefore were not disclosed to the public – despite the significant public interest in the fires and the possible involvement and liability of utility companies in that region.
- e. **“Registered Entity”**: The name of the regulatory violator. This is necessary so the public, investors, Congress and other regulators can see which entities are violating CIP regulations and if there are repeat violators. This information is necessary for any public follow up with Congress or other regulators. Other regulatory agencies need this information as many BPS entities also fall under regulation by state Public Utilities Commissions, the U.S. Securities and Exchange Commission and other federal, state and local authorities.
- f. **“NCR ID (NERC Compliance Registry Identifier)”**: This information is useful in relational databases as a database key (since the names of entities may not be

¹⁵ See report at: <https://michaelmabee.info/transmission-vegetation-management/> (accessed August 31, 2019).

spelled the exact same way in every violation). I note that this information is already available on NERC's public website.¹⁶

- g. **"Total Penalty (\$) (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.)"**: This is necessary so that the public, investors and Congress can understand the enforcement of CIP standards and also to evaluate the effectiveness of the enforcement regime.
- h. **"SA, NOCV, ACP, SNOP or OMNI"**: The disposition of the violation is noted here and this information is necessary so that the public, investors and Congress can understand the enforcement of CIP standards and also to evaluate the effectiveness of the enforcement regime.
- i. **"NERC Violation ID"**: This information is useful in relational databases as a database key since there can be multiple violations under each docket and often in data analysis, we will look at violations from multiple dockets. (e.g., to count how many violations of a particular standard or requirement were levied in a particular period, or in a particular region.)
- j. **"Reliability Standard"**: This information is necessary in order for the public, investors, Congress and other authorities to know what general CIP violations are taking place. This field alone does not give the public sufficient information on the violation. Below is a listing of the current enforceable CIP "Reliability Standard[s]".¹⁷ The whitepaper proposes giving only "the Reliability Standard(s) violated (but not the requirement or subrequirement violated)." However, as you can see from the below listing of current CIP standards and titles, these broad descriptions are not enough for the public to fully understand the regulatory action taken:
 - CIP-002-5.1a Cyber Security – BES Cyber System Categorization
 - CIP-003-6 Cyber Security – Security Management Controls

¹⁶ See: "NERC Active Compliance Registry Matrix" at https://www.nerc.com/pa/comp/Registration%20and%20Certification%20DL/NERC_Compliance_Registry_Matrix_Excel.xls (accessed August 31, 2019).

¹⁷ See: <https://www.nerc.com/pa/Stand/pages/cipstandards.aspx> (accessed August 31, 2019).

- CIP-004-6 Cyber Security – Personnel & Training
- CIP-005-5 Cyber Security – Electronic Security Perimeter(s)
- CIP-006-6 Cyber Security – Physical Security of BES Cyber Systems
- CIP-007-6 Cyber Security – System Security Management
- CIP-008-5 Cyber Security – Incident Reporting and Response Planning
- CIP-009-6 Cyber Security – Recovery Plans for BES Cyber Systems
- CIP-010-2 Cyber Security – Configuration Change Management and Vulnerability Assessments
- CIP-011-2 Cyber Security – Information Protection
- CIP-014-2 – Physical Security

k. **“Req.”:** The “Req.” field is the requirement of the standard. This added to the “Reliability Standard” field gives a slightly better description of the violation but does not give specific information that would be useful to an attacker. The white paper stated that the “the requirement or subrequirement violated” would not be released, but this must be reconsidered. For example, here is what a Physical Security Violation would look like with the requirements (“Req.”) added. As you can see, there is nothing here that would aid an attacker:

- “Reliability Standard” violated: CIP-014-2 Physical Security
- “Req.” violated: R1. Each Transmission Owner shall perform an initial risk assessment and subsequent risk assessments of its Transmission stations and Transmission substations (existing and planned to be in service within 24 months) that meet the criteria specified in Applicability Section 4.1.1. The initial and subsequent risk assessments shall consist of a transmission analysis or transmission analyses designed to identify the Transmission station(s) and Transmission substation(s) that if rendered inoperable or damaged could result in instability, uncontrolled separation, or Cascading within an Interconnection.

Even if we add in the “subrequirement violated” there still is not usable information here that would assist an attacker. We can do the same exercise for

all the Reliability Standards, requirements and subrequirements. Moreover, it is important to point out that when the violations have been mitigated – as the vast majority are before the NOP is even issued – the Reliability Standard, requirement and subrequirement alone do not give an attacker any actionable information.

- l. **“Violation Risk Factor (Lower, Medium, High)”**: This is necessary for the public and others to understand the gravity of the violation. It is important to point out that when the violations have been mitigated – as the vast majority are before the NOP is even issued – the “Violation Risk Factor (Lower, Medium, High)” does not give an attacker any actionable information.
- m. **“Risk Assessment (Minimal, Moderate, Serious)”**: This is necessary for the public and others to understand the gravity of the violation. It is important to point out that when the violations have been mitigated – as the vast majority are before the NOP is even issued – the “Risk Assessment (Minimal, Moderate, Serious)” does not give an attacker any actionable information.
- n. **“Mitigation Completion Date”**: This is critical for use in statistical analysis. For example: The amount of time between the discovery of a violation and the “Mitigation Completion Date” is instructive both on the entity’s sense of urgency to fix the violation, but also the regulator’s sense of urgency to find and abate the violation. Also, the amount of time between the “Mitigation Completion Date” and the date the NOP was filed with FERC is instructive as to the functioning of the regulatory regime.
- o. **“Notice of No Further Review Issued”**: This is important because it indicates that FERC will not review the case and the NOP has become effective. It signals to the public that the regulatory action has been completed. As a note, it would be better for the public if this field contained the date of the FERC order (rather than a check mark). The date of the FERC order is publicly available elsewhere, but the public has to dig for each individual date.

2. **Date violation discovered:** This is critical for use in statistical analysis. For example, we can study the length of time between when a violation is discovered and the “Mitigation Completion Date.” Also, the amount of time between when violations are discovered and the NOP is filed with FERC.
3. **Duration of violation:** This is critical for the public, investors, Congress to understand the length of time they were at risk. It is important to point out that when the violations have been mitigated – as the vast majority are before the NOP is even issued – the “Duration of violation” does not give an attacker any actionable information.
4. **How violation was discovered:** (e.g., self-report, audit, etc.) This is important for the public and others to assess how well the companies and regulators are doing at locating violations. It is also important in understanding how the regulatory system is functioning.
5. **A plain English (non-technical) description of each violation:** I spoke with a well-respected journalist who pointed out it is helpful to journalists and the public for there to be a brief, non-technical explanation of the violation (e.g., what the company failed to do or what the violation was in general). Just the CIP standard and requirement are very broad and don’t give us even a basic appreciation of what occurred.
6. **Aggravating and mitigating factors in penalty assessment:** This is critical information for the public and others to appreciate how penalties are assessed. It is also necessary for the public to be able to evaluate the entity’s cooperation or lack of cooperation with the regulatory system.
7. **Settlement agreement.** It is critical for the public to know how these cases are resolved. For example, in some of the cases that were “settled,” the regulated entities were “uncooperative” (FERC Docket NP16-12-000) or “not fully transparent and forthcoming” (FERC Docket NP18-7-000). “Settling” with such bad actors raises many regulatory red flags and the public needs to analyze these FERC-approved transactions in more detail. Also, some entities do not admit to a violation in the settlement. While this is a common practice in settlements, the public must have the ability to scrutinize how regulators settle cases with the regulated community.

I should point out that all of the information above is presently available to the public with the exception of the name of the violator and the settlement agreement in cases prior to 2019.¹⁸ Merely adding the name of the violator is not going to suddenly make all this publicly available information Critical Electric Infrastructure Information (CEII).

In fact, making the above information available will enhance accountability and ultimately result in a more secure bulk power system as both companies and regulators will have the proper incentive to work harder on CIP standard compliance. And the public and Congress will be able to evaluate the performance of our regulatory system.

Therefore, I propose that this modified list of information be the default disclosure on every future NOP case – unless NERC can specifically show how one of these pieces of information in a particular case would endanger the bulk power system. When that showing can be made (and is examined and approved by the Commission), then that one piece of information might be withheld in that particular instance.

Based on my analysis of past cases, I do not anticipate that this would happen often, if at all.

FERC and NERC regulatory vigilance is needed

Culture change is hard and takes time.

The industry trade associations – and even NERC itself – has fought vehemently against the release of the names of CIP violators since I first raised the issue by intervening in Docket NP18-7-000 on April 15, 2018 and filing FOIA 2018-0075 on April 13, 2018. I am encouraged that NERC now appears to realize that the transparency balance needs to be reexamined and is working with FERC through participation in this whitepaper to find a way forward.

¹⁸ In 2019, NERC started making a redacted version of the settlement agreements available.

However, the regulated industry is represented by trade associations who have not only fought against increased transparency, but threatened a regulatory mutiny if FERC begins to release the names of CIP violators.

The American Public Power Association (APPA), the National Rural Electric Cooperative Association (NRECA) and the Edison Electric Institute (EEI)¹⁹ have thus far opposed any increased transparency. In a Motion to Intervene in Docket NP19-4-000, the Trade Associations threaten that if the Commission (FERC) releases the names of the regulatory violators, the industry may stop cooperating with regulators by “reconsidering” whether to self-report violations.²⁰ I filed reply comments on May 9, 2019 addressing the regulatory threat and numerous misrepresentations, including FERC’s alleged approval of the coverup of CIP violators names as well as misleading interpretations of Commission orders.²¹

I’m not concerned that the trade associators will oppose transparency by filing opposition in this docket – considering diverse opinions on the transparency issue is purportedly what this docket is all about. What concerns me is that the industry may try to subvert transparency by abusing NERC and FERC NOP procedures. For example, we see from Exhibit A and the underlying NOPs that mitigation is generally completed within reasonable timeframes. However, companies could, for example, drag out their mitigation plan for a long period of time – even years – in an effort to delay their name being exposed as a CIP violator.

FERC and NERC must remain vigilant – especially in the next few years – for attempts by the industry to avoid the name disclosure that they vehemently oppose.

¹⁹ Edison Electric Institute’s members include the government of the People’s Republic of China – one of the governments that the U.S. has accused of penetrating the electric grid in cyberattacks. See report at: <https://michaelmabee.info/edison-electric-institute-china/> (accessed August 31, 2019).

²⁰ “Motion to Intervene and Protest of The Trade Associations under NP19-4.” available at: https://elibrary.ferc.gov/idmws/file_list.asp?document_id=14756159 (accessed August 31, 2019).

²¹ Incorporated by reference: “Reply Comments of Michael Mabee to Those of the Trade Associations under NP19-4-000.” Available at: https://elibrary.ferc.gov/idmws/file_list.asp?document_id=14769879 (accessed August 31, 2019).

Existing NOP Cases

FERC needs to disclose the names of the violators in the past NOP cases – almost all of which have been mitigated and the NOPs have become effective by FERC order. I have highlighted the “Mitigation Completion Date” in Exhibit A, which is a listing of all CIP violations from June 4, 2008 through August 29, 2019. When you look at the “Mitigation Completion Date” column and the “Notice of No Further Review Issued”²² column, it appears that ALL NOPs up through December 2018 and many of the 2019 NOPs have been mitigated.²³

Continuing to withhold the names of the violators in these already mitigated cases is making it appear more and more that there is something here to hide. Perhaps there is. Let’s get it all out in the open and deal with it. What I am convinced is not hiding in all these past mitigated and closed NOPs is CEII if merely the names of the violators are released.

Respectfully submitted by:



Michael Mabee

²² The “Notice of No Further Review Issued” column represents the issuance of the FERC order that the Commission will not review the NOP on their own motion.

²³ I note that several older dockets list “TBD” as the mitigation date, however, FERC has issued a final order, so I assume these are administrative errors in not being updated. These dockets are: NP15-32-000, NP14-40-000, NP14-40-000, NP14-40-000, NP13-45-000, NP13-45-000.

Exhibit A
To Comments and Alternate Proposal
Submitted by Michael Mabee
In AD19-18-000

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$) (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.)	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
8/29/2019	NP19-17-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2017018152	CIP-007-6	R5.7	Medium	Minimal	2/25/2019	
8/29/2019	NP19-17-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2017018150	CIP-010-2	R1.1.1	Medium	Minimal	2/25/2019	
8/29/2019	NP19-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$2,100,000	SA	WECC2018019480	CIP-007-1	R2	Medium	Serious	10/31/2018	
8/29/2019	NP19-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$2,100,000	SA	WECC2018019481	CIP-007-1	R8	Medium	Moderate	10/12/2018	
8/29/2019	NP19-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$2,100,000	SA	WECC2017017881	CIP-007-1	R5	Medium	Serious	10/4/2018	
8/29/2019	NP19-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$2,100,000	SA	WECC2017017882	CIP-007-1	R6	Medium	Serious	10/4/2018	
8/29/2019	NP19-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$2,100,000	SA	WECC2017017880	CIP-007-1	R3	Lower	Serious	7/6/2018	
8/29/2019	NP19-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$2,100,000	SA	WECC2017017883	CIP-010-2	R1	Medium	Serious	6/29/2018	
8/29/2019	NP19-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$2,100,000	SA	WECC2017017884	CIP-010-2	R2	Medium	Serious	6/29/2018	
7/31/2019	NP19-15-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$74,000	SNOP	WECC2017016926	CIP-010-2	R1; P1.1.1, P1.1.2, P1.1.4, P1.1.5	Medium	Moderate	3/29/2019	
7/31/2019	NP19-15-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$80,000	SNOP	WECC2017017885	CIP-005-5	R2; P3	Medium	Moderate	2/8/2019	
7/31/2019	NP19-15-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$74,000	SNOP	WECC2017016928	CIP-007-6	R2; P2.1, 2.2, 2.3	Medium	Moderate	12/19/2018	
7/31/2019	NP19-15-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$74,000	SNOP	WECC2017016940	CIP-007-6	R5; P5.5.1, P5.5.2	Medium	Moderate	10/19/2018	
7/31/2019	NP19-15-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$80,00	SNOP	WECC2017018174	CIP-006-3c	R1; R1.1	Medium	Minimal	10/4/2018	
7/31/2019	NP19-15-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	NPCC2018020350	CIP-003-6	R1.1; R1.2	Medium	Minimal	9/18/2018	
7/31/2019	NP19-15-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	NPCC2018020346	CIP-003-6	R2	Lower	Minimal	9/6/2018	
7/31/2019	NP19-15-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	NPCC2018020351	CIP-003-6	R3	Medium	Minimal	9/4/2018	
7/31/2019	NP19-15-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	NPCC2018020348	CIP-002-5.1a	R2.1; R2.2	Lower	Minimal	9/4/2018	
7/31/2019	NP19-15-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	NPCC2018020347	CIP-002-5.1a	R1.1; R1.2	High	Minimal	9/4/2018	
7/31/2019	NP19-15-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$74,000	SNOP	WECC2017016929	CIP-010-2	R1.3	Medium	Moderate	6/5/2018	
7/31/2019	NP19-15-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$74,000	SNOP	WECC2017016941	CIP-005-5	R1; P1.5	Medium	Moderate	5/23/2018	
7/31/2019	NP19-15-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$74,000	SNOP	WECC2017016938	CIP-007-6	R4; P4.2.2	Medium	Moderate	5/17/2018	
7/31/2019	NP19-15-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2018020039	CIP-004-3a	R3	Medium	Moderate	5/3/2018	
7/31/2019	NP19-15-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$74,000	SNOP	WECC2017016939	CIP-007-6	R3; P3.1	Medium	Minimal	4/10/2018	
7/31/2019	NP19-15-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$74,000	SNOP	WECC2018019006	CIP-005-5	R1; P1.3	Medium	Minimal	4/4/2018	
7/31/2019	NP19-15-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2016015862	CIP-006-6	R1; P1.1, 1.2, 1.3, and 1.4	Medium	Moderate	11/14/2017	
7/31/2019	NP19-15-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2018020282	CIP-006-3c	R4	Medium	Minimal	5/15/2017	
6/27/2019	NP19-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$775,000	SA	SERC2016015954	CIP-002-5.1	R1	High	Moderate	4/19/2019	X
6/27/2019	NP19-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$775,000	SA	SERC2017018441	CIP-006-6	R2	Medium	Moderate	4/18/2019	X
6/27/2019	NP19-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$775,000	SA	SERC2017016832	CIP-007-3a	R5	Medium	Serious	2/8/2019	X
6/27/2019	NP19-12-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	NPCC2018020059	CIP-002-5.1a	R1; 1.1, 1.2, 1.3	High	Minimal	12/14/2018	X
6/27/2019	NP19-12-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	NPCC2018020060	CIP-002-5.1a	R2; 2.1, 2.2	Lower	Minimal	12/14/2018	X
6/27/2019	NP19-12-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	NPCC2018020061	CIP-003-6	R3	Medium	Minimal	12/14/2018	X
6/27/2019	NP19-12-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	NPCC2018020063	CIP-002-5.1a	R1; 1.1, 1.2, 1.3	High	Minimal	12/14/2018	X
6/27/2019	NP19-12-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	NPCC2018020064	CIP-002-5.1a	R2; 2.1, 2.2	Lower	Minimal	12/14/2018	X
6/27/2019	NP19-12-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	NPCC2018020062	CIP-003-6	R3	Medium	Minimal	12/14/2018	X
6/27/2019	NP19-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$775,000	SA	SERC2016016379	CIP-011-2	R1	Medium	Minimal	9/4/2018	X
6/27/2019	NP19-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$775,000	SA	SERC2016016572	CIP-011-2	R1	Medium	Moderate	9/4/2018	X
6/27/2019	NP19-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$775,000	SA	SERC2017017564	CIP-011-2	R1	Medium	Moderate	9/4/2018	X
6/27/2019	NP19-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$775,000	SA	SERC2016016548	CIP-005-5	R2	Medium	Serious	8/17/2018	X
6/27/2019	NP19-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$87,000	SNOP	WECC2017018732	CIP-007-6	R5	Medium	Moderate	8/15/2018	X
6/27/2019	NP19-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	WECC2018019340	CIP-007-6	R2; P2	Medium	Minimal	8/14/2018	X
6/27/2019	NP19-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$775,000	SA	SERC2018019200	CIP-007-6	R5	Medium	Moderate	7/23/2018	X
6/27/2019	NP19-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$775,000	SA	SERC2017018246	CIP-007-6	R5	Medium	Moderate	7/12/2018	X
6/27/2019	NP19-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$775,000	SA	SERC2017017236	CIP-007-6	R3	Medium	Moderate	7/10/2018	X
6/27/2019	NP19-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$775,000	SA	SERC2017017286	CIP-006-6	R1	Medium	Moderate	6/26/2018	X
6/27/2019	NP19-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$775,000	SA	SERC2016016321	CIP-010-2	R1	Medium	Serious	4/27/2018	X
6/27/2019	NP19-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$775,000	SA	SERC2018019106	CIP-010-2	R1	Medium	Moderate	4/27/2018	X
6/27/2019	NP19-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$775,000	SA	SERC2017018440	CIP-006-6	R2	Medium	Moderate	1/23/2018	X
6/27/2019	NP19-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$87,000	SNOP	WECC2018020044	CIP-011-2	R1	Medium	Moderate	12/19/2017	X
6/27/2019	NP19-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$87,000	SNOP	WECC2018020045	CIP-011-2	R1	Medium	Moderate	12/19/2017	X
6/27/2019	NP19-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$775,000	SA	SERC2017018774	CIP-005-5	R1	Medium	Minimal	12/18/2017	X
6/27/2019	NP19-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$775,000	SA	SERC2017018548	CIP-007-6	R5	Medium	Minimal	12/6/2017	X
6/27/2019	NP19-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$87,000	SNOP	WECC2017018489	CIP-003-2	R4	Medium	Moderate	11/8/2017	X
6/27/2019	NP19-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	WECC2017018752	CIP-007-6	R5; P5.5	Medium	Minimal	11/6/2017	X
6/27/2019	NP19-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$775,000	SA	SERC2017018467	CIP-007-6	R2	Medium	Moderate	10/11/2017	X
6/27/2019	NP19-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$775,000	SA	SERC2017018279	CIP-004-6	R5	Medium	Moderate	9/22/2017	X
6/27/2019	NP19-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$775,000	SA	SERC2017018136	CIP-004-6	R5	Medium	Moderate	9/15/2017	X
6/27/2019	NP19-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$87,000	SNOP	WECC2017017229	CIP-011-2	R1	Medium	Moderate	3/1/2017	X
6/27/2019	NP19-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$775,000	SA	SERC2016016492	CIP-007-6	R1	Medium	Minimal	1/19/2017	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$) (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.)	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
6/27/2019	NP19-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$775,000	SA	SERC2016016339	CIP-007-6	R5	Medium	Minimal	10/26/2016	X
5/30/2019	NP19-11-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$1,000,000	SA	XXXXXXXXXXXX	CIP-007-3a	R5	Medium	Serious	12/31/2018	
5/30/2019	NP19-10-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$1,000,000	SA	XXXXXXXXXXXX	CIP-007-3a	R5, 5.2, 5.3, 5.7	Lower	Serious	12/31/2018	
5/30/2019	NP19-10-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$1,000,000	SA	XXXXXXXXXXXX	CIP-007-3a	R3	Lower	Serious	9/28/2018	
5/30/2019	NP19-11-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$1,000,000	SA	XXXXXXXXXXXX	CIP-005-5	R1, 1.3	Medium	Moderate	9/18/2018	
5/30/2019	NP19-10-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$1,000,000	SA	XXXXXXXXXXXX	CIP-005-5	R1, 1.3	Medium	Moderate	9/18/2018	
5/30/2019	NP19-11-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$1,000,000	SA	XXXXXXXXXXXX	CIP-007-3a	R2	Medium	Serious	8/17/2018	
5/30/2019	NP19-11-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$1,000,000	SA	XXXXXXXXXXXX	CIP-007-3a	R3	Lower	Serious	8/17/2018	
5/30/2019	NP19-11-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$1,000,000	SA	XXXXXXXXXXXX	CIP-007-6	R3	Medium	Serious	8/17/2018	
5/30/2019	NP19-11-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$1,000,000	SA	XXXXXXXXXXXX	CIP-007-6	R4	Lower	Serious	8/17/2018	
5/30/2019	NP19-10-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$1,000,000	SA	XXXXXXXXXXXX	CIP-007-3a	R2	Medium	Serious	8/17/2018	
5/30/2019	NP19-10-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$1,000,000	SA	XXXXXXXXXXXX	CIP-007-6	R3	Medium	Serious	8/17/2018	
5/30/2019	NP19-10-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$1,000,000	SA	XXXXXXXXXXXX	CIP-007-6	R4, 4.1	Medium	Serious	8/17/2018	
5/30/2019	NP19-11-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$1,000,000	SA	XXXXXXXXXXXX	CIP-011-2	R1	Medium	Moderate	4/25/2018	
5/30/2019	NP19-10-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$1,000,000	SA	XXXXXXXXXXXX	CIP-011-2	R1	Medium	Moderate	4/25/2018	
5/30/2019	NP19-10-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$1,000,000	SA	XXXXXXXXXXXX	CIP-004-6	R4, 4.1	Medium	Minimal	3/5/2018	
5/30/2019	NP19-11-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$1,000,000	SA	XXXXXXXXXXXX	CIP-004-6	R3, 3.4	Medium	Minimal	2/28/2018	
5/30/2019	NP19-11-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$1,000,000	SA	XXXXXXXXXXXX	CIP-010-2	R2	Medium	Minimal	2/28/2018	
5/30/2019	NP19-10-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$1,000,000	SA	XXXXXXXXXXXX	CIP-004-6	R3, 3.4	Medium	Minimal	2/28/2018	
5/30/2019	NP19-10-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$1,000,000	SA	XXXXXXXXXXXX	CIP-010-2	R2	Medium	Minimal	2/28/2018	
5/30/2019	NP19-11-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$1,000,000	SA	XXXXXXXXXXXX	CIP-004-6	R4, 4.1	Medium	Minimal	2/9/2018	
5/30/2019	NP19-10-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$1,000,000	SA	XXXXXXXXXXXX	CIP-006-3c	R1, R1.6.1	Medium	Minimal	1/1/2018	
5/30/2019	NP19-11-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$1,000,000	SA	XXXXXXXXXXXX	CIP-006-3c	R1, 6.1	Medium	Minimal	12/15/2017	
5/30/2019	NP19-11-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$1,000,000	SA	XXXXXXXXXXXX	CIP-006-6	R1, 1.3	Medium	Minimal	10/10/2017	
5/30/2019	NP19-10-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$1,000,000	SA	XXXXXXXXXXXX	CIP-006-6	R1, 1.3	Medium	Minimal	10/10/2017	
5/30/2019	NP19-10-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$1,000,000	SA	XXXXXXXXXXXX	CIP-005-3a	R2, 2.1, 2.2	Medium	Serious	12/14/2015	
4/30/2019	NP19-9-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$301,000	SA	FRCC2017017375	CIP-007-6	R2, 2.1, 2.2, 2.3	Medium	Serious	7/13/2018	X
4/30/2019	NP19-9-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$301,000	SA	FRCC2017017833	CIP-007-6	R4, 4.1	Medium	Moderate	4/18/2018	X
4/30/2019	NP19-9-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$301,000	SA	FRCC2017017869	CIP-007-6	R1, 1.1	Medium	Minimal	3/30/2018	X
4/30/2019	NP19-9-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$301,000	SA	FRCC2017017454	CIP-004-6	R5, 5.3	Medium	Minimal	2/15/2018	X
4/30/2019	NP19-9-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$301,000	SA	FRCC2017017857	CIP-007-6	R5, 5.7	Medium	Moderate	2/15/2018	X
4/30/2019	NP19-9-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$301,000	SA	FRCC2017017376	CIP-010-2	R1, 1.1	Medium	Moderate	2/15/2018	X
4/30/2019	NP19-9-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$301,000	SA	FRCC2017017696	CIP-011-2	R1, 1.1	Medium	Moderate	2/15/2018	X
4/30/2019	NP19-9-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$301,000	SA	FRCC2017017834	CIP-004-6	R4, 4.1	Medium	Moderate	1/30/2018	X
4/30/2019	NP19-9-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$301,000	SA	FRCC2017017370	CIP-004-6	R4, 4.2	Medium	Moderate	1/30/2018	X
4/30/2019	NP19-9-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$301,000	SA	FRCC2017017835	CIP-010-2	R3, 3.3	Medium	Moderate	1/15/2018	X
4/30/2019	NP19-7-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC2016016712	CIP-006-3c	R2	Medium	Serious	11/15/2017	X
3/28/2019	NP19-6-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	WECC2017017208	CIP-010-2	R1; P1.1, 1.2, 1.3, and 1.4	Medium	High	1/22/2018	X
3/28/2019	NP19-6-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	WECC2017017207	CIP-007-6	R1; P1.1	Medium	High	1/8/2018	X
3/28/2019	NP19-6-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	WECC2017017204	CIP-004-6	R4; P4.1, 4.2	Medium	Moderate	12/13/2017	X
3/28/2019	NP19-6-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	WECC2017017206	CIP-004-6	R5; P5.1	Medium	Moderate	12/8/2017	X
3/28/2019	NP19-6-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	WECC2017016991	CIP-007-6	R2; P2.1, 2.2, 2.3	Medium	High	8/2/2017	X
3/28/2019	NP19-6-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2016016686	CIP-002-5.1	R1; P1.2	High	Lower	5/11/2017	X
2/28/2019	NP19-5-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SPP2017018137	CIP-008-3	R1	Lower	Minimal	8/22/2018	X
2/28/2019	NP19-5-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	FRCC2018019016	CIP-007-6	R5	Medium	Moderate	6/1/2018	X
2/28/2019	NP19-5-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	FRCC2018019002	CIP-007-6	R2	Medium	Moderate	3/31/2018	X
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-002-5.1	R1.2	High	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-002-5.1	R1.2	High	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-002-5.1	R1.2	High	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-002-5.1	R1.2	High	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-003-3	R4.2	Lower	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-003-3	R6	Lower	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-003-3	R6	Lower	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-003-3	R6	Lower	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-004-3a	R2, 1	Lower	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-004-6	R2; P2.2	Lower	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-004-6	R2; P2.3	Lower	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-004-6	R3, 2	Lower	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-004-6	R3; P3.5	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-004-6	R3; P3.5	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-004-3a	R4.2	Lower	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-004-3a	R4.2	Lower	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-004-3a	R4.2	Lower	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-004-6	R4; P4.1	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-004-6	R4; P4.1	Medium	Minimal	Ongoing	

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$ (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.))	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-004-6	R4; P4.1	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-004-6	R4; P4.1	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-004-6	R4; P4.2, P4.3,	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-004-6	R5; P5.1	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-004-6	R5; P5.1	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-004-6	R5; P5.2	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-004-6	R5; P5.2	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-004-6	R5; P5.2	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-004-6	R5; P5.2	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-004-6	R5; P5.2, P5.3,	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-005-1	R1.4	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-005-3a	R1.4	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-005-3a	R1.4	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-005-3a	R1.5	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-005-3a	R1.5	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-005-3a	R1.5	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-005-5	R1; P1.3	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-005-5	R1; P1.3	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-005-5	R1; P1.3	Medium	Serious	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-005-5	R1; P1.5	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-005-3a	R2.1, R2.2,	Medium	Serious	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-005-3a	R2.2	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-005-3a	R2.5.3	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-005-5	R2; P2.1	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-005-5	R2; P2.1	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-005-5	R2; P2.1	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-005-5	R2; P2.1, P2.2,	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-005-5	R2; P2.1, P2.2,	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-006-3c	R1.1	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-006-3c	R1.5	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-006-3c	R1.6	Medium	Serious	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-006-3c	R1.6.2	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-006-6	R1; P1.1	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-006-6	R1; P1.2	Medium	Serious	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-006-6	R1; P1.4	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-006-6	R1; P1.8	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-006-3c	R2.2	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-006-3c	R2.2	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-006-6	R2; P2.1	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-006-6	R2; P2.2	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-006-6	R2; P2.2	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-006-6	R2; P2.2	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-006-6	R2; P2.2	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-006-6	R2; P2.2	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-006-6	R2; P2.2	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-006-6	R2; P2.2	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-006-3c	R4	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-006-3c	R5	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-006-3c	R5	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-006-3c	R5	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-006-3c	R5	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-006-3c	R5	Medium	Serious	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-007-3a	R1.1, R1.2,	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-007-3a	R1.1	Medium	Serious	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-007-3a	R1.1	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-007-6	R1; P1.1	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-007-6	R2; P2.2	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-007-6	R2; P2.2	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-007-6	R2; P2.2	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-007-6	R2; P2.3	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-007-3a	R3.1	Lower	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-007-3a	R3	Lower	Serious	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-007-6	R3; P3.3	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-007-6	R4; P4.1, P4.2,	Medium	Serious	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-007-6	R4; P4.4	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-007-3a	R5.1	Lower	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-007-3a	R5.2	Lower	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-007-3a	R5.3	Lower	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-007-3a	R5.2, R5.3	Lower	Serious	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-007-6	R5; P5.1, P5.2,	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-007-6	R5; P5.2	Medium	Serious	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-007-6	R5; P5.6	Medium	Moderate	Ongoing	

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$ (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.))	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-007-3a	R6.2	Lower	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-007-3a	R7.1	Lower	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-007-3a	R8.4	Lower	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-007-3a	R9	Lower	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-009-6	R1; P1.1, P1.2	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-009-6	R2; P2.1, P2.2	Lower	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-009-6	R3; P3.1,	Lower	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-010-2	R1; P1.1	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-010-2	R1; P1.1.1	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-010-2	R1; P1.1,	Medium	Serious	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-010-2	R1; P1.1.4	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-010-2	R1; P1.1.4	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-010-2	R1; P1.1.4	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-010-2	R1; P1.1.5	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-010-2	R1; P1.2	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-010-2	R1; P1.2	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-010-2	R1; P1.2	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-010-2	R1; P1.4.1,	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-010-2	R1; P1.4.1,	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-010-2	R2; P2.1	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-010-2	R2; P2.1	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-010-2	R2; P2.1	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-010-2	R2; P2.1	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-010-2	R3; P3.3	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-010-2	R3; P3.3	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-010-2	R3; P3.1, P3.3,	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-010-2	R4	Medium	Serious	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-010-2	R4	Medium	Minimal	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-011-2	R1; P1.2	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-011-2	R1; P1.2	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-011-2	R1; P1.2	Medium	Serious	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-011-2	R1; P1.1, P1.2	Medium	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-011-2	R2; P2.1, P2.2	Lower	Moderate	Ongoing	
1/25/2019	NP19-4-000	XXXX	Unidentified Registered Entity	NCRXXXXX	\$10,000,000	SA	XXXXXXXXXXXX	CIP-014-2	R1	High	Moderate	8/25/2017	
9/27/2018	NP18-26-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	NPC2017017596	CIP-006-6	R1; P1.6; P1.7	Medium	Minimal	12/19/2017	X
8/30/2018	NP18-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$220,000	SNOP	SERC2017018380	CIP-010-2	R1; P1.4	Medium	Moderate	10/18/2018	X
8/30/2018	NP18-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$95,000	SNOP	SERC2016016373	CIP-006-6	R2; R2.1	Medium	Minimal	8/15/2018	X
8/30/2018	NP18-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$220,000	SNOP	SERC2017018690	CIP-007-6	R2; R2.1	Medium	Minimal	6/15/2018	X
8/30/2018	NP18-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$220,000	SNOP	SERC2016016493	CIP-007-6	R2; P2.2	Medium	Moderate	6/5/2018	X
8/30/2018	NP18-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$220,000	SNOP	SERC2018019153	CIP-010-2	R4	Medium	Moderate	4/12/2018	X
8/30/2018	NP18-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$95,000	SNOP	SERC2016016497	CIP-006-6	R1; P1.2	Medium	Minimal	1/31/2018	X
8/30/2018	NP18-25-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SNOP	WECC2017017928	CIP-010-2	R1; P1.1.1; P1.1.4	Medium	Moderate	1/19/2018	X
8/30/2018	NP18-25-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SNOP	WECC2017017930	CIP-010-2	R2; P2.1	Medium	Moderate	1/19/2018	X
8/30/2018	NP18-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$220,000	SNOP	SERC2017018071	CIP-004-6	R4; P4.1	Medium	Minimal	12/18/2017	X
8/30/2018	NP18-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$220,000	SNOP	SERC2017017284	CIP-010-2	R1; P1.1	Medium	Moderate	10/26/2017	X
8/30/2018	NP18-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$220,000	SNOP	SERC2017018072	CIP-004-6	R4; P4.1	Medium	Minimal	10/23/2017	X
8/30/2018	NP18-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$220,000	SNOP	SERC2017018379	CIP-010-2	R1; P1.4	Medium	Moderate	10/18/2017	X
8/30/2018	NP18-25-000	WECC	Unidentified Registered Entity	NCRXXXXX	No penalty	SNOP	WECC2017018618	CIP-004-6	R3; P3.5	Medium	Minimal	10/18/2017	X
8/30/2018	NP18-22-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC2015015218	CIP-005-3a	R1	Medium	Serious	9/29/2017	X
8/30/2018	NP18-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$220,000	SNOP	SERC2017017235	CIP-010-2	R1	Medium	Moderate	7/19/2017	X
8/30/2018	NP18-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$95,000	SNOP	SERC2016016635	CIP-002-3	R3	High	Moderate	7/18/2017	X
8/30/2018	NP18-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$220,000	SNOP	SERC2016016697	CIP-007-6	R2; P2.2	Medium	Minimal	6/6/2017	X
8/30/2018	NP18-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$220,000	SNOP	SERC2017017644	CIP-007-6	R2; P2.2	Medium	Minimal	5/19/2017	X
8/30/2018	NP18-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$220,000	SNOP	SERC2017017669	CIP-007-6	R2; P2.2	Medium	Minimal	5/19/2017	X
8/30/2018	NP18-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$220,000	SNOP	SERC2016016030	CIP-003-3	R6	Lower	Moderate	3/2/2017	X
8/30/2018	NP18-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$220,000	SNOP	SERC2016016029	CIP-003-3	R6	Lower	Moderate	2/23/2017	X
8/30/2018	NP18-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$95,000	SNOP	SERC2015015285	CIP-004-3a	R4; R4.1	Lower	Moderate	11/3/2016	X
8/30/2018	NP18-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$220,000	SNOP	SERC2016016337	CIP-006-6	R2; P2.2	Medium	Minimal	9/26/2016	X
8/30/2018	NP18-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$95,000	SNOP	SERC2016015535	CIP-005-3a	R2; R2.2	Medium	Moderate	8/22/2016	X
7/31/2018	NP18-21-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2017018459	CIP-007-6	R2; P2.1, 2.2, 2.3, and 2.4	High	Moderate	11/15/2017	X
7/31/2018	NP18-21-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2017017974	CIP-005-1	R2; R2.4	Medium	Minimal	8/14/2017	X
7/31/2018	NP18-21-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2017017706	CIP-006-6	R2; P2.2	Medium	Minimal	6/29/2017	X
7/31/2018	NP18-21-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2016015839	CIP-007-3a	R3	Lower	Moderate	5/15/2017	X
6/28/2018	NP18-16-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2016015886	CIP-007-3a	R2	Medium	Minimal	8/7/2017	X
6/28/2018	NP18-16-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2017016756	CIP-007-6	R4	Medium	Minimal	7/14/2017	X
6/28/2018	NP18-16-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2017016759	CIP-007-6	R4	Medium	Minimal	7/7/2017	X
6/28/2018	NP18-16-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2016015934	CIP-007-3a	R3	Lower	Minimal	2/6/2017	X
6/28/2018	NP18-16-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2016015933	CIP-007-3a	R3	Lower	Minimal	1/31/2017	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$ (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.))	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
6/28/2018	NP18-16-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2016015930	CIP-007-3a	R3	Lower	Minimal	1/10/2017	X
6/28/2018	NP18-16-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2016015932	CIP-007-3a	R3	Lower	Minimal	1/10/2017	X
6/28/2018	NP18-16-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2016015888	CIP-007-3a	R2	Medium	Minimal	8/31/2016	X
6/28/2018	NP18-16-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2016015884	CIP-007-3a	R2	Medium	Minimal	8/19/2016	X
6/28/2018	NP18-16-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2016015887	CIP-007-3a	R2	Medium	Minimal	8/19/2016	X
6/28/2018	NP18-16-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2016015885	CIP-007-3a	R2	Medium	Minimal	7/13/2016	X
6/28/2018	NP18-16-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2015015071	CIP-007-3a	R5	Lower	Minimal	6/2/2016	X
6/28/2018	NP18-16-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2015014719	CIP-007-3a	R6	Lower	Minimal	3/24/2016	X
6/28/2018	NP18-16-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2015015328	CIP-007-3a	R4	Medium	Minimal	2/26/2016	X
6/28/2018	NP18-16-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2015014722	CIP-007-3a	R6	Lower	Minimal	2/22/2016	X
6/28/2018	NP18-16-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2015014720	CIP-007-3a	R5	Lower	Minimal	1/29/2016	X
6/28/2018	NP18-16-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2015014738	CIP-007-3a	R5	Lower	Minimal	8/12/2015	X
6/28/2018	NP18-16-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2015014723	CIP-007-3a	R3	Lower	Minimal	6/10/2015	X
6/28/2018	NP18-16-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2015015311	CIP-007-3a	R6	Lower	Minimal	5/28/2015	X
6/28/2018	NP18-16-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2015014718	CIP-007-3a	R5	Lower	Minimal	3/6/2015	X
6/28/2018	NP18-16-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2015014717	CIP-007-3a	R5	Lower	Minimal	1/21/2015	X
5/31/2018	NP18-15-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2017016850	CIP-004-6	R5; Part 5.1	Medium	Moderate	12/26/2017	X
5/31/2018	NP18-14-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	RFC2017017565	CIP-007-6	R2	High	Minimal	10/31/2017	X
5/31/2018	NP18-14-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	RFC2017017566	CIP-007-6	R5	Medium	Minimal	8/25/2017	X
5/31/2018	NP18-14-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	RFC2016016474	CIP-005-3a	R1	Medium	Moderate	3/15/2017	X
5/31/2018	NP18-14-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	RFC2016015843	CIP-007-3a	R3	Lower	Minimal	2/15/2017	X
5/31/2018	NP18-14-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	RFC2016015713	CIP-007-3a	R5	Medium	Moderate	12/26/2016	X
5/31/2018	NP18-14-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	RFC2016015844	CIP-006-3c	R5	Medium	Serious	12/16/2016	X
5/31/2018	NP18-14-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	RFC2016015752	CIP-007-3a	R6	Medium	Moderate	12/16/2016	X
5/31/2018	NP18-14-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	RFC2016015692	CIP-003-3	R5	Lower	Moderate	12/9/2016	X
5/31/2018	NP18-14-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	RFC2016015717	CIP-003-3	R6	Lower	Minimal	10/15/2016	X
5/31/2018	NP18-14-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	RFC2016015715	CIP-007-3a	R1	Medium	Minimal	8/31/2016	X
5/31/2018	NP18-14-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	RFC2015015241	CIP-007-3a	R3	Lower	Minimal	4/30/2016	X
5/31/2018	NP18-14-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	RFC2015015402	CIP-004-3a	R4	Lower	Minimal	4/1/2016	X
5/31/2018	NP18-14-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	RFC2015014936	CIP-003-3	R5	Lower	Minimal	3/31/2016	X
5/31/2018	NP18-14-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	RFC2015015009	CIP-004-3a	R4	Lower	Minimal	3/31/2016	X
5/31/2018	NP18-14-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	RFC2016015714	CIP-007-3a	R2	Medium	Moderate	3/31/2016	X
5/31/2018	NP18-14-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	RFC2015015314	CIP-006-3c	R1	Medium	Minimal	3/14/2016	X
5/31/2018	NP18-14-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	RFC2016015716	CIP-004-3a	R4	Lower	Minimal	3/9/2016	X
5/31/2018	NP18-14-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	RFC2015015313	CIP-003-3	R6	Medium	Minimal	3/1/2016	X
5/31/2018	NP18-14-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	RFC2015015107	CIP-007-3a	R6	Lower	Minimal	3/1/2016	X
5/31/2018	NP18-14-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	RFC2015015312	CIP-014-2	R1	High	Moderate	3/1/2016	X
5/31/2018	NP18-14-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	RFC2016015538	CIP-007-3a	R5	Lower	Minimal	2/12/2016	X
5/31/2018	NP18-14-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	RFC2015015008	CIP-004-3a	R3	Medium	Minimal	2/1/2016	X
4/30/2018	NP18-10-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$45,000	SNOP	TRE2017017741	CIP-010-2	R1; P1.1	Medium	Minimal	1/1/2019	X
4/30/2018	NP18-10-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$45,000	SNOP	TRE2017018149	CIP-007-3a	R1	Medium	Moderate	12/31/2018	X
3/29/2018	NP18-9-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2016016443	CIP-004-6	R4	Medium	Moderate	3/30/2018	X
3/29/2018	NP18-9-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2016016444	CIP-004-6	R5	Medium	Minimal	10/2/2017	X
3/29/2018	NP18-9-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2016016436	CIP-010-2	R1	Medium	Moderate	9/22/2017	X
3/29/2018	NP18-9-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2016016438	CIP-007-3a	R3	Lower	Moderate	9/21/2017	X
3/29/2018	NP18-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2016015808	CIP-006-3c	R5	Medium	Moderate	7/24/2017	X
3/29/2018	NP18-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No penalty	SNOP	WECC2016015660	CIP-006-3c	R1; R1.7	Lower	Minimal	6/30/2017	X
3/29/2018	NP18-9-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2016016439	CIP-007-6	R4	Medium	Moderate	5/1/2017	X
3/29/2018	NP18-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$84,000	SNOP	WECC2016016131	CIP-007-3a	R5; R5.1.2, R5.2.3,	Medium	Minimal	1/12/2017	X
3/29/2018	NP18-9-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2016016437	CIP-010-2	R2	Medium	Minimal	11/22/2016	X
3/29/2018	NP18-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$84,000	SNOP	WECC2016016687	CIP-007-3a	R1; R1.1; R1.2; R1.3	Lower	Minimal	11/1/2016	X
3/29/2018	NP18-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$84,000	SNOP	WECC2016016688	CIP-007-3a	R7; R7.1	Lower	Moderate	11/1/2016	X
3/29/2018	NP18-9-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2016016442	CIP-006-3c	R1	Medium	Minimal	10/13/2016	X
3/29/2018	NP18-9-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2016016440	CIP-007-6	R5	Medium	Minimal	9/19/2016	X
3/29/2018	NP18-9-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2016016441	CIP-007-3a	R2	Medium	Minimal	6/23/2015	X
3/29/2018	NP18-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No penalty	SNOP	WECC2014013531	CIP-006-1	R3	Medium	Moderate	7/15/2014	X
2/28/2018	NP18-7-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$2,700,000	SA	WECC2016016233	CIP-003-3	R4	Medium	Serious	12/15/2017	X
2/28/2018	NP18-7-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$2,700,000	SA	WECC2016016234	CIP-003-3	R5	Medium	Serious	12/15/2017	X
1/31/2018	NP18-6-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$33,000	SNOP	SERC2016015880	CIP-007-6	R5, P5.7	Medium	Moderate	12/29/2017	X
1/31/2018	NP18-6-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$33,000	SNOP	SERC2016015879	CIP-007-6	R3; P3.1	Medium	Minimal	12/21/2017	X
1/31/2018	NP18-6-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$33,000	SNOP	SERC2016015881	CIP-007-6	R4, P4.2	Medium	Moderate	12/21/2017	X
1/31/2018	NP18-6-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$33,000	SNOP	SERC2016015882	CIP-010-2	R1; P1.1, P1.2, P1.3, P1.4	Medium	Moderate	12/21/2017	X
1/31/2018	NP18-6-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$33,000	SNOP	SERC2016016040	CIP-007-6	R1; P1.1	Medium	Moderate	12/21/2017	X
1/31/2018	NP18-6-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$33,000	SNOP	SERC2016016500	CIP-007-6	R2, P2.2	Medium	Moderate	12/21/2017	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$) (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.)	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
1/31/2018	NP18-6-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$33,000	SNOP	SERC2016016501	CIP-007-6	R4, P4.2	Medium	Minimal	12/21/2017	X
1/31/2018	NP18-6-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$33,000	SNOP	SERC2017016972	CIP-005-5	R1, P1.2, P1.3	Medium	Moderate	12/21/2017	X
11/30/2017	NP18-4-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$22,000	SNOP	WECC2016016649	CIP-007-6	R2; Part 2.3	Medium	Minimal	4/19/2017	X
11/30/2017	NP18-4-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$22,000	SNOP	WECC2017016930	CIP-007-3a	R5; R5.2.3	Lower	Minimal	11/9/2016	X
10/31/2017	NP18-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2015014926	CIP-006-3c	R2	Medium	Moderate	7/1/2016	X
10/31/2017	NP18-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC201002165	CIP-006-1	R1	Medium	Moderate	7/1/2016	X
10/31/2017	NP18-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2015014941	CIP-005-3a	R1	Medium	Moderate	6/9/2016	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2016016619	CIP-005-3a	R1	Medium	Moderate	12/31/2018	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2016016620	CIP-005-3a	R2; R2.2	Medium	Moderate	12/31/2018	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2017017852	CIP-010-2	R1; R1.5	Medium	Moderate	1/31/2018	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2017017851	CIP-007-6	R2; R2.1	Medium	Minimal	10/31/2017	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2017017850	CIP-010-2	R1; R1.1	Medium	Minimal	10/31/2017	X
9/28/2017	NP17-29-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2016015511	CIP-007-1	R2	Medium	Moderate	10/16/2017	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2017017854	CIP-007-3a	R5; R5.2.1	Lower	Moderate	10/1/2017	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2017017813	CIP-007-3a	R6; R6.1	Medium	Minimal	9/25/2017	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2017017849	CIP-005-3a	R1; R1.1	Medium	Moderate	9/7/2017	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2017017812	CIP-006-6	R2; R2.2	Medium	Minimal	9/7/2017	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2017017811	CIP-007-6	R2; R2.4	Medium	Moderate	8/22/2017	X
9/28/2017	NP17-29-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	WECC2017016848	CIP-014-2	R5; P5.1; P5.2; P5.3; P5.4	High	Moderate	5/19/2017	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2016016614	CIP-007-6	R2; R2.2	Medium	Minimal	4/24/2017	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2016016607	CIP-007-3a	R5; R5.3.3	Lower	Moderate	4/24/2017	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2016016608	CIP-007-6	R5; R5.5	Medium	Minimal	4/24/2017	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2016016610	CIP-007-6	R5; R5.7	Medium	Minimal	4/24/2017	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2016016612	CIP-010-2	R1; R1.3	Medium	Moderate	4/24/2017	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2016016613	CIP-010-2	R2; R2.1	Medium	Moderate	4/24/2017	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2016016616	CIP-004-3	R3; R3.3	Medium	Moderate	4/6/2017	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2016016615	CIP-004-6	R5; R5.2	Medium	Minimal	4/6/2017	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2017016813	CIP-004-6	R5; R5.4	Medium	Minimal	4/6/2017	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2016016603	CIP-006-6	R1; R1.3	Medium	Moderate	4/6/2017	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2016016606	CIP-006-6	R2; R2.1	Medium	Minimal	4/6/2017	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2016016611	CIP-006-6	R2; R2.2	Medium	Minimal	4/6/2017	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2016016605	CIP-007-6	R4; R4.4	Medium	Minimal	4/6/2017	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2016016609	CIP-007-6	R2; R2.3	Medium	Minimal	2/17/2017	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2016015480	CIP-004-3a	R4; R4.2	Lower	Minimal	2/9/2017	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2013012667	CIP-005-3	R1; R1.1; R1.5	Medium	Serious	1/14/2017	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2013012669	CIP-005-3	R4; R4.2; R4.3; R4.4	Medium	Moderate	1/14/2017	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2013012679	CIP-007-3a	R8; R8.2; R8.3	Lower	Moderate	1/14/2017	X
9/28/2017	NP17-29-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	WECC2017016847	CIP-014-2	R4; P4.1; P4.2; P4.3	Medium	Moderate	1/12/2017	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2013012675	CIP-007-3a	R3; R3.1; R3.2	Lower	Serious	12/31/2016	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2013012676	CIP-007-3a	R4; R4.1	Medium	Minimal	12/29/2016	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2013012668	CIP-005-3	R2; R2.2; R2.4	Medium	Serious	12/21/2016	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2016015516	CIP-006-3c	R1; R1.6	Medium	Serious	12/20/2016	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2013012661	CIP-002-3	R3	High	Serious	12/19/2016	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2013012681	CIP-007-3a	R2; R2.1; R2.2; R2.3	Medium	Moderate	12/19/2016	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2016015515	CIP-004-3a	R3; R3.2	Medium	Minimal	12/16/2016	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2013012678	CIP-006-3a	R2	Medium	Moderate	12/12/2016	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2013012666	CIP-004-3	R4	Lower	Moderate	12/6/2016	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2013012682	CIP-009-3	R1	Medium	Moderate	11/15/2016	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2013012677	CIP-007-3a	R5; R5.1.2; R5.3	Lower	Moderate	11/7/2016	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2013012680	CIP-007-3a	R6; R6.1	Lower	Minimal	11/7/2016	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2016015522	CIP-002-3	R4	Lower	Moderate	8/10/2016	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2016015523	CIP-005-3a	R5; R5.1	Lower	Moderate	8/10/2016	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2016015524	CIP-006-3c	R1; R1.8	Lower	Moderate	8/10/2016	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2016015525	CIP-007-3a	R9	Lower	Moderate	8/10/2016	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2013012670	CIP-005-3	R5; R5.1; R5.2	Lower	Moderate	7/5/2016	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$) (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.)	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2013012671	CIP-006-3a	R1; R1.2; R1.8	Medium	Moderate	6/27/2016	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2013012663	CIP-003-3	R6	Lower	Moderate	1/29/2016	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2013012664	CIP-004-3	R2; R2.1	Medium	Moderate	11/18/2015	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2013012665	CIP-004-3	R3	Medium	Moderate	11/18/2015	X
9/28/2017	NP17-31-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$500,000	SA	SERC2013012662	CIP-003-3	R1; R1.3	Medium	Moderate	9/6/2013	X
8/31/2017	NP17-28-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC2016016053	CIP-002-5.1	R1	High	Minimal	1/31/2017	X
8/31/2017	NP17-28-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC2016016114	CIP-006-6	R1	Medium	Minimal	9/1/2016	X
8/31/2017	NP17-28-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC2016015751	CIP-006-3c	R1	Medium	Minimal	7/21/2016	X
8/31/2017	NP17-28-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC2016015595	CIP-006-3c	R5	Medium	Minimal	5/30/2016	X
8/31/2017	NP17-28-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC2016015502	CIP-004-3a	R4	Lower	Minimal	5/12/2016	X
8/31/2017	NP17-28-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC2016015594	CIP-006-3c	R2	Medium	Minimal	3/18/2016	X
8/31/2017	NP17-28-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC2016015537	CIP-006-3c	R1	Medium	Minimal	3/9/2016	X
7/31/2017	NP17-26-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SPP2014014507	CIP-007-3a	R4; R4.1	Medium	Moderate	7/6/2016	X
7/31/2017	NP17-26-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SPP2015015324	CIP-007-3a	R6; R6.1; R6.4; R6.5	Medium	Moderate	7/6/2016	X
7/31/2017	NP17-26-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SPP2014014500	CIP-003-3	R6	Lower	Moderate	7/5/2016	X
7/31/2017	NP17-26-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SPP2014014514	CIP-005-3a	R1; R1.5; R1.6	Medium	Moderate	7/1/2016	X
7/31/2017	NP17-26-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SPP2014014505	CIP-007-3a	R1; R1.1	Lower	Moderate	7/1/2016	X
7/31/2017	NP17-26-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SPP2014014506	CIP-007-3a	R2; R2.1; R2.2	Medium	Moderate	7/1/2016	X
7/31/2017	NP17-26-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SPP2014014508	CIP-007-3a	R5; R5.2; R5.2.2	Lower	Moderate	6/29/2016	X
7/31/2017	NP17-26-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SPP2014014502	CIP-006-3c	R2; R2.2	Medium	Moderate	6/28/2016	X
7/31/2017	NP17-26-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SPP2014014511	CIP-009-3	R2	Lower	Moderate	6/27/2016	X
7/31/2017	NP17-26-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SPP2014014513	CIP-004-3a	R4	Lower	Moderate	2/18/2016	X
7/31/2017	NP17-26-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SPP2014014501	CIP-006-3c	R1; R1.6.1	Medium	Moderate	2/18/2016	X
7/31/2017	NP17-26-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SPP2014014510	CIP-008-3	R1; R1.6	Lower	Moderate	11/23/2015	X
7/31/2017	NP17-26-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SPP2014014499	CIP-003-3	R2; R2.2	Medium	Minimal	11/10/2015	X
7/31/2017	NP17-25-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2013013072	CIP-005-3	R2; R2.2; R2.4	Medium	Moderate	11/4/2015	X
6/29/2017	NP17-24-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$74,000	SNOP	WECC2016016130	CIP-006-3c	R2; R2.1; R2.2	Medium	Minimal	6/26/2017	X
6/29/2017	NP17-24-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SNOP	RFC2014013842	CIP-007-3a	R3; R3.1	Lower	Moderate	12/12/2015	X
5/31/2017	NP17-23-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$54,000	SNOP	WECC2016015819	CIP-006-3c	R2; R2.2	Medium	Minimal	12/21/2016	X
4/27/2017	NP17-22-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$87,000	SNOP	WECC2015014903	CIP-005-3a	R2; R2.1; R2.2	Medium	Moderate	7/14/2015	X
4/27/2017	NP17-22-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2015014973	CIP-004-3a	R4	Lower	Minimal	6/30/15	X
4/27/2017	NP17-22-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2015014836	CIP-004-3a	R4	Lower	Minimal	4/30/2015	X
4/27/2017	NP17-22-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2015014832	CIP-005-3a	R1	Medium	Minimal	4/15/2015	X
4/27/2017	NP17-22-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2015014833	CIP-007-3a	R5	Lower	Minimal	3/31/2015	X
4/27/2017	NP17-22-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$152,000	SNOP	MRO2013013054	CIP-007-1	R5; R5.1; R5.1.2; R5.2; R5.2.2; R5.2.3; R5.3; R5.3.3	Medium	Moderate	3/25/2016	X
4/27/2017	NP17-22-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2015014775	CIP-007-1	R2	Medium	Moderate	3/18/2016	X
4/27/2017	NP17-22-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2015015022	CIP-007-1	R3	Lower	Moderate	3/18/2016	X
4/27/2017	NP17-21-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$201,000	SA	WECC2015014909	CIP-006-3c	R2.2	Medium	Moderate	10/9/2015	X
4/27/2017	NP17-22-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2015014714	CIP-006-1	R1	Medium	Moderate	8/31/2015	X
4/27/2017	NP17-22-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$152,000	SNOP	MRO2013012366	CIP-005-1	R1; R1.3; R1.5	Medium	Moderate	8/27/2015	X
4/27/2017	NP17-22-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$152,000	SNOP	MRO2014013361	CIP-006-3c	R2; R2.2	Medium	Moderate	8/27/2015	X
4/27/2017	NP17-22-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2015014837	CIP-007-1	R5	Lower	Minimal	7/30/2015	X
4/27/2017	NP17-21-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$201,000	SA	WECC2015015031	CIP-004-1	R3	Lower	Moderate	7/28/2015	X
4/27/2017	NP17-22-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$87,000	SNOP	WECC2016016705	CIP-003-3	R1; R1.1	Medium	Minimal	7/14/2015	X
4/27/2017	NP17-22-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2015014834	CIP-007-3a	R1	Medium	Minimal	5/6/2015	X
4/27/2017	NP17-22-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$152,000	SNOP	MRO2014014472	CIP-005-1	R3; R3.2	Medium	Moderate	5/5/2015	X
4/27/2017	NP17-22-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$26,000	SNOP	WECC2016015861	CIP-006-3c	R2; R2.2	Medium	Moderate	1/22/2015	X
4/27/2017	NP17-22-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$152,000	SNOP	MRO2013012800	CIP-004-3a	R4; R4.1; R4.2	Lower	Minimal	10/16/2014	X
4/27/2017	NP17-22-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$152,000	SNOP	MRO2014013713	CIP-003-3	R5; R5.1; R5.2; R5.3	Lower	Minimal	8/6/2014	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$) (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.)	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
4/27/2017	NP17-22-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$152,000	SNOP	MRO2013011986	CIP-007-1	R3; R3.1	Lower	Minimal	5/28/2014	X
4/27/2017	NP17-22-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$152,000	SNOP	MRO2013013155	CIP-003-3	R6	Lower	Moderate	3/5/2014	X
4/27/2017	NP17-22-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$152,000	SNOP	MRO2013012127	CIP-007-1	R6; R6.1; R6.2; R6.3; R6.4; R6.5	Medium	Moderate	10/29/2013	X
4/27/2017	NP17-22-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$152,000	SNOP	MRO2013013116	CIP-006-3c	R6	Lower	Minimal	10/11/2013	X
4/27/2017	NP17-22-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$152,000	SNOP	MRO2013012126	CIP-007-3a	R4; R4.2	Medium	Moderate	8/28/2013	X
2/28/2017	NP17-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2014013907	CIP-005-3a	R5; R5.1; R5.2; R5.3	Lower	Moderate	7/28/2016	X
2/28/2017	NP17-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2014013901	CIP-007-3a	R9	Lower	Moderate	7/27/2016	X
2/28/2017	NP17-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2014013906	CIP-005-3a	R4; R4.1; R4.2; R4.3; R4.4; R4.5	Medium	Moderate	6/15/2016	X
2/28/2017	NP17-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2014013903	CIP-005-3a	R2; R2.1; R2.2; R2.3; R2.4; R2.5	Medium	Moderate	5/1/2016	X
2/28/2017	NP17-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$34,000	SNOP	WECC2015015191	CIP-007-3a	R5; R5.2; R5.2.1	Medium	Minimal	11/18/2015	X
2/28/2017	NP17-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2014013900	CIP-007-3a	R8; R8.1; R8.2; R8.3; R8.4	Medium	Moderate	11/8/2015	X
2/28/2017	NP17-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2013013088	CIP-005-1	R4	Medium	Minimal	10/28/2015	X
2/28/2017	NP17-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2014013895	CIP-007-3a	R3; R3.1; R3.2	Lower	Moderate	8/26/2015	X
2/28/2017	NP17-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2014013898	CIP-007-3a	R5; R5.1; R5.2; R5.3	Lower	Moderate	8/25/2015	X
2/28/2017	NP17-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2014013905	CIP-005-3a	R3; R3.1; R3.2	Medium	Moderate	8/25/2015	X
2/28/2017	NP17-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2014013904	CIP-005-3a	R1; R1.1; R1.2; R1.3; R1.4; R1.5; R1.6	Medium	Moderate	8/21/2015	X
2/28/2017	NP17-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2014013896	CIP-007-3a	R4; R4.1; R4.2	Medium	Moderate	8/20/2015	X
2/28/2017	NP17-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2014013899	CIP-007-3a	R6; R6.1; R6.2; R6.3; R6.4; R6.5	Medium	Moderate	7/28/2015	X
2/28/2017	NP17-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2013012260	CIP-004-1	R4	Lower	Moderate	5/15/2015	X
2/28/2017	NP17-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2014013893	CIP-007-3a	R1; R1.1; R1.2; R1.3	Medium	Moderate	12/11/2014	X
2/28/2017	NP17-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2014013894	CIP-007-3a	R2; R2.1; R2.2; R2.3	Medium	Moderate	11/20/2014	X
1/30/2017	NP17-14-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$17,000	SNOP	WECC2015015404	CIP-006-3c	R2; R2.2	Lower	Minimal	6/16/2016	X
1/30/2017	NP17-14-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	WECC2015014872	CIP-006-1	R1.8	Medium	Minimal	7/1/2015	X
12/29/2016	NP17-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	SERC2016015561	CIP-006-3c	R1.6.1	Medium	Moderate	9/8/2016	X
12/29/2016	NP17-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	SERC2016015560	CIP-005-3a	R1.5	Medium	Moderate	7/1/2016	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002162	CIP-007-1	R7	Lower	Moderate	2/29/2016	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002166	CIP-006-1	R5	Medium	Moderate	2/29/2016	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002169	CIP-006-1	R6	Medium	Moderate	2/29/2016	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002170	CIP-003-1	R4	Medium	Moderate	2/29/2016	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002173	CIP-008-1	R1	Lower	Moderate	2/29/2016	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002174	CIP-008-1	R2	Lower	Moderate	2/29/2016	X
12/29/2016	NP17-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$60,000	SNOP	WECC2016015456	CIP-006-3c	R1; R1.6	Medium	Minimal	12/22/2015	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC2015015127	CIP-007-3a	R6	Medium	Minimal	12/2/2015	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC2015015259	CIP-007-3a	R6	Medium	Minimal	11/8/2015	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200902140	CIP-007-1	R4	Medium	Moderate	10/21/2015	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200902141	CIP-007-1	R5	Medium	Moderate	10/21/2015	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200902146	CIP-007-1	R6	Medium	Minimal	10/21/2015	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200902148	CIP-007-1	R8	Medium	Moderate	10/21/2015	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200902149	CIP-007-1	R9	Lower	Minimal	10/21/2015	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC2013011735	CIP-006-3c	R2	Medium	Minimal	10/21/2015	X
12/29/2016	NP17-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	SERC2015015209	CIP-006-3c	R2.2	Medium	Moderate	8/31/2015	X
12/29/2016	NP17-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	SERC2015015210	CIP-005-3a	R1.5	Medium	Moderate	8/31/2015	X
12/29/2016	NP17-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$60,000	SNOP	WECC2015015024	CIP-006-3c	R1; R1.6	Medium	Minimal	8/21/2015	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200902126	CIP-007-1	R3	Lower	Moderate	4/30/2015	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200902127	CIP-007-1	R2	Medium	Moderate	4/30/2015	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200902137	CIP-007-1	R1	Medium	Minimal	4/30/2015	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC2015014575	CIP-004-3	R2	Lower	Moderate	12/16/2014	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$ (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.))	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002205	CIP-006-1	R3	Medium	Moderate	12/1/2014	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC2014013600	CIP-007-3a	R6	Lower	Minimal	12/1/2014	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002207	CIP-006-1	R5	Lower	Minimal	11/24/2014	X
12/29/2016	NP17-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2015014880	CIP-006-1	R3	Medium	Moderate	11/12/2014	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002167	CIP-006-1	R2	Medium	Moderate	10/27/2014	X
12/29/2016	NP17-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2014014018	CIP-007-1	R6; R6.5	Lower	Minimal	7/31/2014	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002211	CIP-006-1	R6	Medium	Moderate	2/10/2014	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002206	CIP-006-1	R4	Lower	Moderate	12/5/2013	X
12/29/2016	NP17-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2013012054	CIP-006-1	R1; R1.8	Medium	Moderate	8/1/2013	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC2013012269	CIP-005-3a	R3	Medium	Moderate	3/6/2013	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002186	CIP-005-1	R1	Medium	Moderate	2/28/2013	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002187	CIP-005-1	R2	Medium	Moderate	2/28/2013	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002188	CIP-005-1	R3	Medium	Moderate	2/28/2013	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200902111	CIP-002-1	R1	Medium	Minimal	2/4/2013	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200902115	CIP-002-1	R3	High	Moderate	2/4/2013	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200902116	CIP-002-1	R4	Lower	Minimal	2/4/2013	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002190	CIP-005-1	R5	Medium	Moderate	1/31/2013	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002189	CIP-005-1	R4	Medium	Moderate	12/14/2012	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC2013011733	CIP-006-3c	R5	Medium	Minimal	12/14/2012	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC2013011734	CIP-006-3c	R6	Lower	Minimal	12/14/2012	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC2013011732	CIP-006-3c	R4	Medium	Minimal	12/6/2012	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002224	CIP-007-1	R5	Medium	Moderate	11/5/2012	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002156	CIP-007-1	R1	Medium	Moderate	5/31/2012	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002157	CIP-007-1	R2	Medium	Moderate	5/31/2012	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002158	CIP-007-1	R3	Lower	Moderate	5/31/2012	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002159	CIP-007-1	R4	Medium	Moderate	5/31/2012	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002160	CIP-007-1	R5	Medium	Moderate	5/31/2012	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002161	CIP-007-1	R6	Medium	Moderate	5/31/2012	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002163	CIP-007-1	R8	Lower	Moderate	5/31/2012	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002164	CIP-007-1	R9	Lower	Moderate	5/31/2012	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002171	CIP-003-1	R5	Lower	Moderate	5/31/2012	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002180	CIP-009-1	R1	Medium	Moderate	5/31/2012	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002181	CIP-009-1	R2	Medium	Moderate	5/31/2012	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002182	CIP-009-1	R3	Lower	Moderate	5/31/2012	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002183	CIP-009-1	R4	Lower	Moderate	5/31/2012	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002184	CIP-009-1	R5	Lower	Moderate	5/31/2012	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002199	CIP-003-1	R3	Lower	Moderate	5/31/2012	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200902120	CIP-005-1	R1	Medium	Moderate	5/17/2012	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200902121	CIP-005-1	R2	Medium	Moderate	5/17/2012	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200902124	CIP-005-1	R4	Medium	Moderate	5/17/2012	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200902132	CIP-005-1	R5	Lower	Minimal	5/17/2012	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002221	CIP-005-1	R4	Lower	Moderate	5/9/2012	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002225	CIP-007-1	R6	Medium	Moderate	4/30/2012	X
12/29/2016	NP17-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC201010260	CIP-002-2	R3	High	Minimal	4/11/2012	X
12/29/2016	NP17-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC201102962	CIP-007-1	R5; R5.2.1; R5.2.3; R5.3.3	Medium	Minimal	3/23/2012	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200902125	CIP-006-1	R4	Lower	Minimal	3/20/2012	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200902128	CIP-006-1	R3	Medium	Minimal	3/20/2012	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200902129	CIP-006-1	R2	Medium	Minimal	3/20/2012	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200902136	CIP-006-1	R6	Medium	Moderate	3/20/2012	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200902289	CIP-006-1	R1	Medium	Moderate	3/20/2012	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200902130	CIP-004-1	R4	Medium	Moderate	3/16/2012	X
12/29/2016	NP17-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200902133	CIP-004-1	R2	Medium	Moderate	3/16/2012	X
12/29/2016	NP17-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2012009538	CIP-007-1	R5.2.1	Medium	Minimal	3/14/2012	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002168	CIP-007-1	R1	Medium	Moderate	3/3/2012	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002200	CIP-006-1	R1	Medium	Moderate	2/29/2012	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002201	CIP-006-1	R2	Medium	Moderate	2/29/2012	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002202	CIP-006-1	R3	Medium	Moderate	2/29/2012	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002203	CIP-006-1	R4	Medium	Moderate	2/29/2012	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002204	CIP-007-1	R2	Medium	Moderate	2/24/2012	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002222	CIP-005-1	R5	Medium	Minimal	1/3/2012	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002215	CIP-009-1	R3	Lower	Minimal	1/1/2012	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002219	CIP-005-1	R2	Lower	Moderate	12/14/2011	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002176	CIP-004-1	R1	Lower	Moderate	11/30/2011	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002177	CIP-004-1	R2	Medium	Moderate	11/30/2011	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002178	CIP-004-1	R3	Medium	Moderate	11/30/2011	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002179	CIP-004-1	R4	Medium	Moderate	11/30/2011	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$ (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.))	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002227	CIP-007-1	R8	Medium	Moderate	11/11/2011	X
12/29/2016	NP17-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC201102963	CIP-007-1	R6; R6.1	Medium	Minimal	10/3/2011	X
12/29/2016	NP17-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002198	CIP-003-1	R1	Medium	Moderate	8/31/2011	X
12/29/2016	NP17-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC201102961	CIP-007-1	R3; R3.1	Lower	Minimal	8/24/2011	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002217	CIP-009-1	R5	Lower	Minimal	6/30/2011	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002212	CIP-007-1	R3	Lower	Moderate	5/30/2011	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002216	CIP-009-1	R4	Lower	Minimal	5/30/2011	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002223	CIP-007-1	R4	Medium	Moderate	5/30/2011	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002226	CIP-007-1	R7	Lower	Moderate	5/30/2011	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002228	CIP-007-1	R9	Lower	Minimal	5/30/2011	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002213	CIP-009-1	R1	Medium	Moderate	4/28/2011	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002218	CIP-005-1	R1	Lower	Moderate	3/31/2011	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002220	CIP-005-1	R3	Medium	Moderate	3/31/2011	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002214	CIP-009-1	R2	Lower	Minimal	3/17/2011	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002377	CIP-003-1	R5	Lower	Moderate	1/14/2011	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002208	CIP-004-1	R2	Medium	Moderate	11/6/2010	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002209	CIP-004-1	R3	Medium	Moderate	11/6/2010	X
12/29/2016	NP17-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002210	CIP-004-1	R4	Medium	Moderate	11/6/2010	X
12/29/2016	NP17-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC201002235	CIP-004-1	R4; R4.1; R4.2	Medium	Minimal	8/23/2010	X
12/29/2016	NP17-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC200901713	CIP-007-1	R1.1	Medium	Minimal	6/17/2010	X
12/29/2016	NP17-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC200901796	CIP-007-1	R1	Medium	Minimal	3/30/2010	X
12/29/2016	NP17-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC200901795	CIP-004-1	R4	Lower	Minimal	3/19/2010	X
12/29/2016	NP17-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC201002237	CIP-007-1	R2	Medium	Minimal	2/2/2010	X
12/29/2016	NP17-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC201002238	CIP-007-1	R3	Lower	Minimal	2/2/2010	X
12/29/2016	NP17-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC201002239	CIP-007-1	R4	Medium	Minimal	2/2/2010	X
12/29/2016	NP17-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC200901626	CIP-007-1	R4; R4.2	Medium	Moderate	11/19/2009	X
12/29/2016	NP17-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC200901645	CIP-007-1	R3; R3.1; R3.2	Lower	Moderate	10/27/2009	X
12/29/2016	NP17-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC200901710	CIP-003-1	R1; R1.1; R1.3	Medium	Minimal	9/1/2009	X
12/29/2016	NP17-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC200901711	CIP-004-1	R2	Lower	Minimal	9/1/2009	X
12/29/2016	NP17-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC200901552	CIP-007-1	R1; R1.2; R1.3	Medium	Minimal	7/30/2009	X
12/29/2016	NP17-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC200901712	CIP-004-1	R4; R4.1	Lower	Minimal	6/30/2009	X
11/30/2016	NP17-8-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$142,000	NOCV	MRO2015014792	CIP-002-3	R3	High	Moderate	8/12/2016	X
11/30/2016	NP17-8-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$142,000	NOCV	MRO2015014793	CIP-005-1	R1	Medium	Moderate	8/12/2016	X
11/30/2016	NP17-8-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$142,000	NOCV	MRO2015014794	CIP-007-1	R1.1; R1.3; R1.4; R1.5; R1.6	Medium	Moderate	8/12/2016	X
10/31/2016	NP17-4-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$75,000	SNOP	NPCC2016015812	CIP-007-3a	R6	Medium	Minimal	11/23/2016	X
10/31/2016	NP17-4-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$75,000	SNOP	NPCC2015014997	CIP-007-3a	R3	Lower	Minimal	12/30/2015	X
10/31/2016	NP17-4-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$75,000	SNOP	NPCC2015014999	CIP-007-3a	R6	Lower	Minimal	12/30/2015	X
10/31/2016	NP17-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$1,125,000	SA	WECC2014013783	CIP-005-3a	R3	Medium	Serious	12/5/2015	X
10/31/2016	NP17-3-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	WECC2015014704	CIP-007-3a	R8	Medium	Moderate	11/6/2015	X
10/31/2016	NP17-4-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$75,000	SNOP	NPCC2015015000	CIP-007-3a	R5	Lower	Minimal	9/25/2015	X
10/31/2016	NP17-4-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$75,000	SNOP	NPCC2016015520	CIP-006-3c	R2	Medium	Minimal	9/23/2015	X
10/31/2016	NP17-3-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	WECC2014014531	CIP-006-3c	R2	Medium	Moderate	9/11/2015	X
10/31/2016	NP17-4-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$75,000	SNOP	NPCC2015014998	CIP-007-3a	R8	Lower	Minimal	8/26/2015	X
10/31/2016	NP17-4-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$75,000	SNOP	NPCC2015015002	CIP-005-3a	R4	Medium	Minimal	8/26/2015	X
10/31/2016	NP17-4-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$75,000	SNOP	NPCC2015014996	CIP-005-3a	R1	Medium	Minimal	8/24/2015	X
10/31/2016	NP17-4-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$75,000	SNOP	NPCC2015015001	CIP-005-3a	R5	Lower	Minimal	8/24/2015	X
10/31/2016	NP17-4-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$75,000	SNOP	NPCC2015014993	CIP-005-3a	R1	Medium	Minimal	8/5/2015	X
10/31/2016	NP17-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$1,125,000	SA	WECC2014014352	CIP-002-3	R3	High	Serious	3/17/2015	X
10/31/2016	NP17-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$1,125,000	SA	WECC2014013782	CIP-003-3	R6	Lower	Serious	1/30/2015	X
10/31/2016	NP17-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$1,125,000	SA	WECC2014014358	CIP-006-3c	R3	Medium	Serious	12/20/2014	X
10/31/2016	NP17-4-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$75,000	SNOP	NPCC2015014994	CIP-005-3a	R2	Medium	Minimal	12/17/2014	X
10/31/2016	NP17-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$1,125,000	SA	WECC2014013507	CIP-005-3a	R2	Medium	Serious	12/5/2014	X
10/31/2016	NP17-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$1,125,000	SA	WECC2014014365	CIP-007-3a	R8	Lower	Serious	12/5/2014	X
10/31/2016	NP17-4-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$75,000	SNOP	NPCC2015014995	CIP-005-3a	R1	Medium	Minimal	12/1/2014	X
10/31/2016	NP17-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$1,125,000	SA	WECC2014014354	CIP-005-3a	R4	Medium	Serious	10/30/2014	X
10/31/2016	NP17-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$1,125,000	SA	WECC2014014364	CIP-007-3a	R6	Lower	Serious	10/30/2014	X
10/31/2016	NP17-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$1,125,000	SA	WECC2014014353	CIP-005-3a	R1	Medium	Serious	10/24/2014	X
10/31/2016	NP17-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$1,125,000	SA	WECC2014014355	CIP-005-3a	R5	Lower	Serious	10/24/2014	X
10/31/2016	NP17-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$1,125,000	SA	WECC2014014362	CIP-007-3a	R3	Lower	Serious	10/8/2014	X
10/31/2016	NP17-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$1,125,000	SA	WECC2014014361	CIP-007-3a	R2	Medium	Serious	7/30/2014	X
10/31/2016	NP17-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$1,125,000	SA	WECC2014013785	CIP-006-3c	R4	Medium	Serious	6/29/2014	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$ (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.))	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
10/31/2016	NP17-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$1,125,000	SA	WECC2014013784	CIP-006-3c	R5	Medium	Serious	6/29/2014	X
10/31/2016	NP17-3-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	WECC2014013506	CIP-002-3	R4	Lower	Moderate	3/4/2014	X
10/31/2016	NP17-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$1,125,000	SA	WECC2014014360	CIP-007-3a	R1	Medium	Serious	2/27/2014	X
10/31/2016	NP17-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$1,125,000	SA	WECC2014014356	CIP-006-3c	R1	Medium	Serious	1/28/2014	X
10/31/2016	NP17-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$1,125,000	SA	WECC2014014359	CIP-006-3c	R6	Lower	Serious	1/28/2014	X
10/31/2016	NP17-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$1,125,000	SA	WECC2014014357	CIP-006-3c	R2	Medium	Serious	1/1/2014	X
10/31/2016	NP17-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$1,125,000	SA	WECC2014014363	CIP-007-3a	R5	Lower	Serious	7/12/2013	X
10/31/2016	NP17-3-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	WECC2014013873	CIP-005-3a	R1	Medium	Moderate		X
8/31/2016	NP16-25-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	WECC2014013472	CIP-006-1	R1; R1.7; R1.8	Medium	Moderate	11/20/2015	X
8/31/2016	NP16-25-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2013012574	CIP-007-3a	R7	Lower	Minimal	8/22/2014	X
8/31/2016	NP16-25-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2013012566	CIP-002-1	R1	Medium	Minimal	1/23/2014	X
8/31/2016	NP16-25-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2013012568	CIP-005-1	R4	Medium	Minimal	1/23/2014	X
8/31/2016	NP16-25-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2013012575	CIP-007-1	R8	Lower	Minimal	1/23/2014	X
8/31/2016	NP16-25-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2013012572	CIP-006-1	R3	Medium	Moderate	6/6/2013	X
8/31/2016	NP16-25-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC200901720	CIP-003-1	R2	Medium	Moderate	7/22/2009	X
7/28/2016	NP16-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	SERC2014014198	CIP-006-3c	R2	Medium	Moderate	4/28/2016	X
7/28/2016	NP16-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	SERC2014014337	CIP-003-3	R4	Medium	Minimal	4/21/2016	X
7/28/2016	NP16-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	SERC2014014395	CIP-006-3c	R5	Medium	Minimal	4/4/2016	X
7/28/2016	NP16-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	SERC2014014423	CIP-007-1	R5	Lower	Minimal	4/4/2016	X
7/28/2016	NP16-23-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$225,000	SA	SERC2014013438	CIP-007-3a	R6	Lower	Moderate	3/11/2016	X
7/28/2016	NP16-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	SERC2014014427	CIP-005-3	R3	Medium	Moderate	3/9/2016	X
7/28/2016	NP16-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	SERC2014014196	CIP-005-3a	R4	Medium	Minimal	3/9/2016	X
7/28/2016	NP16-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	SERC2014014336	CIP-003-3	R5	Lower	Minimal	2/11/2016	X
7/28/2016	NP16-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	SERC2014014087	CIP-007-1	R6	Lower	Moderate	1/28/2016	X
7/28/2016	NP16-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	SERC2014014086	CIP-005-1	R1	Medium	Moderate	12/31/2015	X
7/28/2016	NP16-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	SERC2014014195	CIP-006-1	R2	Medium	Minimal	12/30/2015	X
7/28/2016	NP16-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	SERC2014013619	CIP-007-3a	R5	Medium	Minimal	12/2/2015	X
7/28/2016	NP16-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	SERC2014013621	CIP-006-1	R1	Medium	Minimal	9/9/2015	X
7/28/2016	NP16-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	SERC2014013437	CIP-006-3c	R5	Medium	Minimal	9/8/2015	X
7/28/2016	NP16-23-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$225,000	SA	SERC2014014403	CIP-006-3c	R8	Medium	Minimal	6/30/2015	X
7/28/2016	NP16-23-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$225,000	SA	SERC2014014274	CIP-007-3a	R5	Medium	Minimal	4/27/2015	X
7/28/2016	NP16-23-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$225,000	SA	SERC2014013877	CIP-005-1	R1	Medium	Moderate	3/11/2015	X
7/28/2016	NP16-23-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$225,000	SA	SERC2014013881	CIP-007-3a	R5	Medium	Moderate	12/31/2014	X
7/28/2016	NP16-23-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$225,000	SA	SERC2014013767	CIP-007-3a	R8	Medium	Moderate	12/15/2014	X
7/28/2016	NP16-23-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$225,000	SA	SERC2014013657	CIP-002-3	R3	High	Minimal	11/14/2014	X
7/28/2016	NP16-23-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	SERC2014013444	CIP-006-3c	R1	Medium	Minimal	9/23/2014	X
7/28/2016	NP16-23-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$225,000	SA	SERC2014014396	CIP-006-3c	R5	Medium	Minimal	9/8/2014	X
7/28/2016	NP16-23-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$225,000	SA	SERC2014013765	CIP-007-3a	R6	Lower	Minimal	6/17/2014	X
7/28/2016	NP16-23-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$225,000	SA	SERC2014013766	CIP-009-3	R5	Lower	Moderate	4/9/2014	X
7/28/2016	NP16-23-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$225,000	SA	SERC2014013910	CIP-005-3a	R4	Medium	Minimal	10/31/2013	X
6/29/2016	NP16-21-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	SERC2015014643	CIP-007-3a	R3	Lower	Moderate	4/29/2016	X
6/29/2016	NP16-21-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	SERC2015014761	CIP-004-3	R4	Lower	Minimal	4/29/2016	X
6/29/2016	NP16-21-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	SERC2015015099	CIP-005-3a	R1; R1.5	Medium	Minimal	4/29/2016	X
6/29/2016	NP16-21-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	SERC2015015400	CIP-007-3a	R5; R5.3.3	Medium	Minimal	1/19/2016	X
6/29/2016	NP16-21-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	SERC2015015405	CIP-005-3a	R2	Medium	Minimal	1/19/2016	X
6/29/2016	NP16-21-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	SERC2015015254	CIP-007-3a	R1	Medium	Moderate	9/25/2015	X
5/31/2016	NP16-20-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$35,000	SNOP	FRCC2015015366	CIP-005-3a	R2 R2.2	Medium	Moderate	1/13/2016	X
5/31/2016	NP16-20-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$35,000	SNOP	FRCC2015015368	CIP-005-3a	R1; R1.4	Medium	Minimal	12/23/2015	X
5/31/2016	NP16-20-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$35,000	SNOP	FRCC2015015369	CIP-006-3c	R2; R2.2	Medium	Minimal	12/18/2015	X
4/28/2016	NP16-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SNOP	SERC2015014963	CIP-006-1	R1; R1.8	Lower	Moderate	4/1/2016	X
4/28/2016	NP16-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SNOP	SERC2015014966	CIP-006-1	R1; R1.1	Medium	Minimal	4/1/2016	X
4/28/2016	NP16-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SNOP	SERC2015014968	CIP-005-1	R3	Medium	Moderate	4/1/2016	X
4/28/2016	NP16-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SNOP	SERC2015014970	CIP-009-3	R1	Medium	Moderate	4/1/2016	X
4/28/2016	NP16-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$20,000	SNOP	SERC2015014604	CIP-006-1	R1; R1.8	Medium	Moderate	12/31/2015	X
4/28/2016	NP16-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$20,000	SNOP	SERC2015014762	CIP-007-3a	R3; R3.1	Lower	Minimal	8/14/2015	X
4/28/2016	NP16-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$20,000	SNOP	SERC2015015164	CIP-009-1	R1	Medium	Moderate	8/10/2015	X
4/28/2016	NP16-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$20,000	SNOP	SERC2015015167	CIP-007-3a	R1; R1.3	Lower	Moderate	8/10/2015	X
4/28/2016	NP16-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$20,000	SNOP	SERC2015015166	CIP-005-3a	R1; R1.5	Medium	Minimal	8/7/2015	X
4/28/2016	NP16-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$20,000	SNOP	SERC2015015165	CIP-006-3c	R2; R2.2	Medium	Minimal	8/7/2015	X
4/28/2016	NP16-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC2014013759	CIP-006-1	R2; R2.2	Medium	Minimal	7/31/2015	X
4/28/2016	NP16-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC2014013760	CIP-005-3a	R3	Medium	Minimal	6/29/2015	X
4/28/2016	NP16-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC2014013761	CIP-007-3a	R6	Lower	Minimal	6/29/2015	X
4/28/2016	NP16-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC2014014186	CIP-004-3a	R4	Lower	Minimal	6/15/2015	X
4/28/2016	NP16-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC2014014094	CIP-007-1	R3; R3.1; R3.2	Lower	Moderate	6/5/2015	X
4/28/2016	NP16-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$20,000	SNOP	SERC2015014635	CIP-006-3c	R5	Medium	Minimal	6/5/2015	X
4/28/2016	NP16-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$20,000	SNOP	SERC2015014764	CIP-005-3a	R2; R2.2	Medium	Moderate	5/19/2015	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$) (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.)	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
4/28/2016	NP16-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$5,000	SNOP	SERC2015014708	CIP-007-3a	R3; R3.1	Lower	Moderate	3/20/2015	X
4/28/2016	NP16-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC2014013763	CIP-003-3	R5	Lower	Minimal	1/30/2015	X
4/28/2016	NP16-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC2014013840	CIP-005-1	R1	Medium	Minimal	1/30/2015	X
4/28/2016	NP16-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC2014014535	CIP-005-1	R1	Medium	Minimal	1/30/2015	X
4/28/2016	NP16-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC2014014172	CIP-007-3a	R5	Lower	Minimal	1/27/2015	X
4/28/2016	NP16-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC2014013839	CIP-005-3a	R5	Lower	Minimal	12/31/2014	X
4/28/2016	NP16-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC2014013758	CIP-007-3a	R1	Medium	Minimal	12/31/2014	X
4/28/2016	NP16-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC2014013757	CIP-007-3a	R9	Lower	Minimal	12/31/2014	X
4/28/2016	NP16-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC2014014167	CIP-006-3c	R1; R1.6	Medium	Minimal	12/19/2014	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014014241	CIP-009-3	R2	Lower	Serious	2/16/2016	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2015015301	CIP-009-3	R2	Lower	Serious	2/16/2016	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014014013	CIP-009-1	R4	Lower	Serious	2/16/2016	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2015015302	CIP-009-3	R4	Lower	Serious	2/16/2016	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014014242	CIP-009-3	R5	Lower	Serious	2/16/2016	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2015015303	CIP-009-3	R5	Lower	Serious	2/16/2016	X
2/29/2016	NP16-13-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2015014896	CIP-002-1	R3	High	Minimal	1/28/2016	X
2/29/2016	NP16-13-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2015014897	CIP-002-3	R4	Lower	Minimal	1/28/2016	X
2/29/2016	NP16-13-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2015014898	CIP-002-1	R3	High	Minimal	1/28/2016	X
2/29/2016	NP16-13-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2015014707	CIP-003-1	R2	Medium	Minimal	12/18/2015	X
2/29/2016	NP16-13-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2015014706	CIP-003-1	R2	Medium	Minimal	12/18/2015	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014014211	CIP-007-3a	R1.3	Lower	Serious	11/20/2015	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014014207	CIP-005-3	R1.6	Lower	Serious	11/9/2015	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2015015300	CIP-005-3a	R1	Lower	Serious	11/9/2015	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014013998	CIP-007-1	R2	Medium	Serious	11/4/2015	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2015015143	CIP-006-3c	R1	Medium	Moderate	10/19/2015	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014014239	CIP-008-3	R1.6	Lower	Moderate	10/6/2015	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014014410	CIP-006-3c	R1	Medium	Minimal	10/5/2015	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014014262	CIP-007-3a	R3, R3.1, R3.2	Lower	Serious	7/14/2015	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014014257	CIP-007-3a	R5.3; R5.3.1, R5.3.2, R5.3.3	Lower	Serious	7/1/2015	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014014252	CIP-004-3	R2.1	Medium	Serious	6/26/2015	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014014114	CIP-007-3a	R3.2	Lower	Serious	6/25/2015	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014014240	CIP-009-3	R1	Medium	Serious	6/22/2015	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014014014	CIP-003-1	R6	Lower	Serious	6/15/2015	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014014253	CIP-004-3	R3.3	Lower	Moderate	5/17/2015	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2013013197	CIP-004-3a	R4.2	Lower	Moderate	5/13/2015	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014013447	CIP-004-3a	R4.2	Lower	Moderate	5/13/2015	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014014011	CIP-006-1	R1.1	Medium	Moderate	5/11/2015	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014014215	CIP-007-3a	R5.1.2	Lower	Minimal	5/8/2015	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014014245	CIP-002-3	R3	High	Moderate	5/4/2015	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014013997	CIP-004-3a	R4.2	Lower	Moderate	4/10/2015	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014014238	CIP-007-3a	R9	Lower	Moderate	4/8/2015	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014014216	CIP-007-1	R5.2, R5.2.3	Lower	Serious	3/17/2015	X
2/29/2016	NP16-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2015014651	CIP-002-3	R4	Lower	Minimal	2/17/2015	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014013626	CIP-007-1	R3	Lower	Serious	1/15/2015	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014014015	CIP-005-3a	R1.5	Medium	Minimal	12/19/2014	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014014208	CIP-006-3a	R1.8	Lower	Moderate	11/17/2014	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014014209	CIP-006-3a	R5	Medium	Serious	11/17/2014	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014014251	CIP-004-3	R2	Medium	Moderate	7/18/2014	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2013013198	CIP-006-3c	R5	Medium	Serious	6/30/2014	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014013623	CIP-005-1	R1.5	Medium	Serious	6/6/2014	X
2/29/2016	NP16-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,700,000	SA	RFC2014014012	CIP-007-3a	R4	Medium	Minimal	6/6/2014	X
2/29/2016	NP16-13-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	WECC2013012867	CIP-003-1	R2	Medium	Minimal	9/5/2013	X
1/28/2016	NP16-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC2013013087	CIP-005-3	R3; R3.2	Medium	Minimal	8/14/2015	X
1/28/2016	NP16-11-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$21,000	SNOP	FRCC2015015112	CIP-006-3c	R2	Medium	Minimal	7/28/2015	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2015014715	CIP-006-3c	R1	Medium	Moderate	7/15/2015	X
1/28/2016	NP16-11-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$21,000	SNOP	FRCC2015015059	CIP-007-3a	R9	Lower	Minimal	5/29/2015	X
1/28/2016	NP16-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC2015014628	CIP-007-1	R2	Medium	Moderate	5/15/2015	X
1/28/2016	NP16-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC2015014629	CIP-007-1	R5	Medium	Moderate	5/15/2015	X
1/28/2016	NP16-11-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$21,000	SNOP	FRCC2015014923	CIP-006-3c	R2; R2.2	Medium	Moderate	4/17/2015	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013798	CIP-002-3	R3	High	Moderate	4/1/2015	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013801	CIP-004-3	R4	Lower	Moderate	4/1/2015	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013802	CIP-005-3a	R1	Medium	Serious	4/1/2015	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013803	CIP-005-3a	R2	Medium	Serious	4/1/2015	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013804	CIP-005-3a	R3	Medium	Serious	4/1/2015	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013805	CIP-005-3a	R4	Medium	Serious	4/1/2015	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$ (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.))	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013810	CIP-006-3c	R1	Medium	Moderate	4/1/2015	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013811	CIP-006-3c	R2	Medium	Moderate	4/1/2015	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013812	CIP-006-3c	R3	Medium	Moderate	4/1/2015	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013814	CIP-006-3c	R5	Medium	Moderate	4/1/2015	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013835	CIP-006-3c	R8	Medium	Minimal	4/1/2015	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013821	CIP-007-3a	R2	Medium	Serious	4/1/2015	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013822	CIP-007-3a	R4	Medium	Serious	4/1/2015	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013823	CIP-007-3a	R5	Lower	Serious	4/1/2015	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013824	CIP-007-3a	R6	Lower	Serious	4/1/2015	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013825	CIP-007-3a	R8	Lower	Serious	4/1/2015	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014014469	CIP-007-3a	R5.2.3	Lower	Minimal	3/30/2015	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2015015243	CIP-007-3a	R3	Lower	Serious	3/18/2015	X
1/28/2016	NP16-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC2015014618	CIP-006-3c	R5	Medium	Minimal	12/16/2014	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013797	CIP-007-3a	R5	Lower	Minimal	10/30/2014	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013816	CIP-007-3a	R5	Lower	Minimal	8/30/2014	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013809	CIP-006-3c	R3	Medium	Minimal	7/30/2014	X
1/28/2016	NP16-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC2014014185	CIP-004-3a	R3	Medium	Minimal	7/21/2014	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013799	CIP-003-3	R5	Lower	Moderate	6/30/2014	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013830	CIP-003-3	R4	Medium	Moderate	6/27/2014	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013832	CIP-004-3	R2	Lower	Serious	6/27/2014	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013820	CIP-007-3a	R1	Medium	Serious	6/25/2014	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013795	CIP-007-3a	R3	Lower	Serious	4/30/2014	X
1/28/2016	NP16-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002356	CIP-003-2	R4.3	Medium	Minimal	4/25/2014	X
1/28/2016	NP16-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002354	CIP-002-1	R3; R3.1	High	Serious	4/1/2014	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013836	CIP-007-3a	R9	Lower	Minimal	3/31/2014	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013833	CIP-005-3a	R5	Lower	Minimal	2/1/2014	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013794	CIP-004-3a	R4.1	Lower	Minimal	1/31/2014	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013446	CIP-004-3a	R2.1	Medium	Minimal	1/30/2014	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013829	CIP-003-3	R1	Medium	Moderate	12/19/2013	X
1/28/2016	NP16-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC2013011670	CIP-003-3	R5	Lower	Minimal	7/31/2013	X
1/28/2016	NP16-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002262	CIP-002-1	R1; R1.2; R1.2.2; R1.2.4	Medium	Moderate	5/9/2013	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013800	CIP-003-3	R6	Lower	Serious	4/1/2013	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013813	CIP-006-3c	R4	Medium	Minimal	4/1/2013	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013815	CIP-006-3c	R6	Lower	Minimal	4/1/2013	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013915	CIP-007-3a	R7	Lower	Moderate	3/31/2013	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013831	CIP-004-3	R1	Lower	Moderate	3/30/2013	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013826	CIP-008-3	R1	Lower	Moderate	3/30/2013	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013827	CIP-009-3	R1	Medium	Moderate	3/30/2013	X
1/28/2016	NP16-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002260	CIP-007-1	R1; R1.1	Medium	Moderate	2/15/2013	X
1/28/2016	NP16-10-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2014013834	CIP-006-3c	R7	Lower	Minimal	1/1/2013	X
1/28/2016	NP16-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201102851	CIP-005-1	R1; R1.4	Medium	Moderate	5/15/2012	X
1/28/2016	NP16-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002269	CIP-006-1	R1; R1.6	Medium	Minimal	11/9/2011	X
1/28/2016	NP16-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002412	CIP-007-1	R5; R5.2.2	Lower	Minimal	8/4/2011	X
1/28/2016	NP16-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002273	CIP-006-1	R4	Lower	Minimal	4/28/2011	X
1/28/2016	NP16-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002280	CIP-004-1	R3; R3.2	Medium	Minimal	1/20/2011	X
1/28/2016	NP16-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002355	CIP-003-1	R1; R1.1; R1.2; R1.3	Medium	Moderate	11/15/2010	X
1/28/2016	NP16-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200902261	CIP-007-1	R3; R3.1	Lower	Moderate	11/12/2010	X
1/28/2016	NP16-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002279	CIP-007-1	R6; R6.4; R6.5	Medium	Minimal	7/27/2010	X
1/28/2016	NP16-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002381	CIP-005-1	R1	Medium	Minimal	6/25/2010	X
1/28/2016	NP16-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC201002382	CIP-005-1	R2	Medium	Minimal	6/25/2010	X
1/28/2016	NP16-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200801174	CIP-004-1	R3	Medium	Minimal	12/30/2009	X
1/28/2016	NP16-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200901632	CIP-006-1	R1; R1.8	Lower	Minimal	12/30/2009	X
1/28/2016	NP16-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200901633	CIP-005-1	R1; R1.5	Lower	Minimal	12/30/2009	X
1/28/2016	NP16-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200801173	CIP-004-1	R2	Lower	Minimal	5/15/2009	X
1/28/2016	NP16-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200801175	CIP-004-1	R4	Lower	Minimal	5/15/2009	X
1/28/2016	NP16-9-000	WECC	Unidentified Registered Entity	NCRXXXXX	No Penalty	SA	WECC200801176	CIP-007-1	R1	Medium	Minimal	12/12/2008	X
12/30/2015	NP16-6-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$75,000	SNOP	MRO2013013022	CIP-007-3a	R2; R2.2	Medium	Moderate	2/29/2016 (approved completion date)	X
12/30/2015	NP16-6-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$75,000	SNOP	MRO2013013014	CIP-003-1	R6	Lower	Moderate	2/26/2016 (approved completion date)	X
12/30/2015	NP16-6-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$75,000	SNOP	MRO2013013017	CIP-005-1	R1; R1.5	Medium	Moderate	2/26/2016 (approved completion date)	X
12/30/2015	NP16-6-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$75,000	SNOP	MRO2013013018	CIP-006-1	R1; R1.8	Medium	Moderate	2/26/2016 (approved completion date)	X

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12/30/2015	NP16-6-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$36,000	SNOP	WECC2013013158	CIP-004-3a	R4; R4.1; R4.2	Lower	Minimal	11/21/2014	X
12/30/2015	NP16-6-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$75,000	SNOP	MRO2013013021	CIP-007-1	R1; R1.1; R1.3	Medium	Moderate	1/29/2016 (approved completion date)	X
12/30/2015	NP16-7-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$235,000	SA	SPP2013013217	CIP-002-3	R3.1	Lower	Moderate	9/10/2015	X
12/30/2015	NP16-7-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$235,000	SA	SPP2013013218	CIP-003-3	R6	Lower	Moderate	9/10/2015	X
12/30/2015	NP16-7-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$235,000	SA	SPP2013013225	CIP-006-3a	R2.2	Medium	Moderate	9/10/2015	X
12/30/2015	NP16-7-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$235,000	SA	SPP2013013226	CIP-007-3a	R1.1, R1.2, R1.3	Medium	Moderate	9/10/2015	X
12/30/2015	NP16-7-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$235,000	SA	SPP2013013231	CIP-007-3a	R6.2, R6.4	Medium	Moderate	9/10/2015	X
12/30/2015	NP16-7-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$235,000	SA	SPP2014013561	CIP-005-3a	R3.2	Medium	Moderate	9/4/2015	X
12/30/2015	NP16-7-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$235,000	SA	SPP2014013565	CIP-007-3a	R3.1, R3.2	Lower	Moderate	9/4/2015	X
12/30/2015	NP16-6-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	WECC2015014891	CIP-002-1	R3; R3.1	High	Moderate	6/24/2015	X
12/30/2015	NP16-7-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$235,000	SA	SPP2013013227	CIP-007-3a	R2.1	Medium	Moderate	3/2/2015	X
12/30/2015	NP16-6-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	WECC2014014498	CIP-007-3a	R2	Medium	Minimal	2/20/2015	X
12/30/2015	NP16-6-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	WECC2015014620	CIP-006-3c	R2; R2.2	Medium	Minimal	2/6/2015	X
12/30/2015	NP16-6-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$36,000	SNOP	WECC2014014532	CIP-007-3a	R1	Medium	Minimal	1/28/2015	X
12/30/2015	NP16-6-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$36,000	SNOP	WECC2014014533	CIP-007-3a	R5	Medium	Minimal	1/28/2015	X
12/30/2015	NP16-6-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$36,000	SNOP	WECC2014014534	CIP-007-3a	R6	Medium	Minimal	1/28/2015	X
12/30/2015	NP16-6-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	WECC2014013850	CIP-006-3c	R1	Medium	Minimal	1/20/2015	X
12/30/2015	NP16-6-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	WECC2014014503	CIP-006-3c	R6	Lower	Minimal	1/20/2015	X
12/30/2015	NP16-7-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$235,000	SA	SPP2014013566	CIP-007-3a	R8.4	Lower	Moderate	1/12/2015	X
12/30/2015	NP16-7-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$235,000	SA	SPP2013013224	CIP-005-3a	R4.3, R4.5	Medium	Moderate	1/1/2015	X
12/30/2015	NP16-6-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$35,000	SNOP	SERC2014014449	CIP-005-3a	R1; R1.5	Medium	Moderate	12/10/2014	X
12/30/2015	NP16-6-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$35,000	SNOP	SERC2014013394	CIP-005-3a	R2; R2.1; R2.2	Medium	Moderate	8/11/2014	X
12/1/2015	NP16-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC2012011598	CIP-006-3c	R5	Medium	Minimal	8/27/2015	X
12/1/2015	NP16-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC2013012025	CIP-006-3c	R4	Medium	Minimal	6/15/2015	X
12/1/2015	NP16-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC2012011467	CIP-005-1	R1	Medium	Moderate	3/19/2015	X
12/1/2015	NP16-4-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$205,000	NOCV	WECC2014014131	CIP-005-3a	R1	Medium	Minimal	2/2/2015	X
12/1/2015	NP16-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC2014013658	CIP-007-3a	R2	Medium	Moderate	1/16/2015	X
12/1/2015	NP16-4-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$205,000	NOCV	WECC2014014129	CIP-005-3a	R4	Medium	Minimal	12/31/2014	X
12/1/2015	NP16-4-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$205,000	NOCV	WECC2014013523	CIP-002-3	R3	High	Minimal	8/22/2014	X
12/1/2015	NP16-4-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$205,000	NOCV	WECC2014014130	CIP-007-3a	R8	Medium	Minimal	8/14/2014	X
12/1/2015	NP16-4-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$205,000	NOCV	WECC2014013525	CIP-007-3a	R1	Medium	Moderate	7/25/2014	X
12/1/2015	NP16-4-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$205,000	NOCV	WECC2014013526	CIP-007-3a	R9	Lower	Moderate	7/25/2014	X
12/1/2015	NP16-4-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC2014013498	CIP-007-3a	R1	Medium	Minimal	7/22/2014	X
12/1/2015	NP16-4-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$205,000	NOCV	WECC2014013524	CIP-005-3a	R2	Medium	Minimal	7/20/2014	X
12/1/2015	NP16-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC2014013499	CIP-007-3a	R5	Medium	Minimal	4/17/2014	X
12/1/2015	NP16-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC2014013500	CIP-007-3a	R9	Lower	Minimal	1/15/2014	X
12/1/2015	NP16-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC2014013497	CIP-003-3	R6	Lower	Minimal	12/12/2013	X
12/1/2015	NP16-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC2013012029	CIP-009-1	R1	Medium	Minimal	9/30/2013	X
12/1/2015	NP16-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC2013012368	CIP-006-1	R1	Medium	Moderate	9/6/2013	X
12/1/2015	NP16-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC2013012023	CIP-003-3	R5	Lower	Minimal	5/23/2013	X
12/1/2015	NP16-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC2013012370	CIP-007-3a	R9	Lower	Minimal	5/17/2013	X
12/1/2015	NP16-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC2013012367	CIP-005-3a	R5	Lower	Minimal	5/16/2013	X
12/1/2015	NP16-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC2013012369	CIP-007-3a	R3	Lower	Minimal	5/10/2013	X
12/1/2015	NP16-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC2012011599	CIP-007-1	R5	Medium	Minimal	4/23/2013	X
10/29/2015	NP16-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$160,000	SA	WECC2013012466	CIP-006-3a	R2, R2.2	Medium	Minimal	1/31/16 (approved completion date)	X
10/29/2015	NP16-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$160,000	SA	WECC2013012102	CIP-002-1	R3	High	Minimal	12/19/2014	X
10/29/2015	NP16-1-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	WECC2014014397	CIP-004-3a	R3; R3.2	Medium	Minimal	9/15/2014	X
10/29/2015	NP16-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$160,000	SA	WECC2013012357	CIP-005-1	R1	Medium	Moderate	8/2/2014	X
10/29/2015	NP16-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$160,000	SA	WECC2014013599	CIP-007-1	R8	Medium	Moderate	12/31/2013	X
10/29/2015	NP16-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$160,000	SA	WECC2013012459	CIP-005-3	R4	Medium	Moderate	12/20/2013	X
10/29/2015	NP16-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$160,000	SA	WECC2013012460	CIP-007-3a	R8	Medium	Moderate	12/20/2013	X
10/29/2015	NP16-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$160,000	SA	WECC2013012363	CIP-004-2	R4	Lower	Minimal	8/30/2013	X
10/29/2015	NP16-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$160,000	SA	WECC2013012465	CIP-006-3c	R1, R1.1	Medium	Moderate	8/1/2013	X
10/29/2015	NP16-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$160,000	SA	WECC2013012387	CIP-003-1	R6	Lower	Moderate	5/30/2013	X
10/29/2015	NP16-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$160,000	SA	WECC2012010893	CIP-004-1	R3	Medium	Minimal	10/4/2012	X
9/30/2015	NP15-36-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2014014383	CIP-006-3c	R5	Medium	Minimal	10/20/2014	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014037	CIP-006-3c	R2.2	Medium	Minimal	5/22/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014038	CIP-006-3c	R2.2	Medium	Minimal	5/22/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014039	CIP-006-3c	R2.2	Medium	Minimal	5/22/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014063	CIP-007-3a	R6.1, R6.4	Medium	Serious	5/21/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014064	CIP-007-3a	R6.1, R6.4	Medium	Serious	5/21/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014065	CIP-007-3a	R6.1, R6.4	Medium	Serious	5/21/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013324	CIP-007-1	R6.5	Lower	Minimal	5/21/2015	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$ (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.))	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013330	CIP-007-1	R6.5	Lower	Minimal	5/21/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013338	CIP-007-1	R6.5	Lower	Minimal	5/21/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013714	CIP-004-3a	R4	Lower	Serious	5/20/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013693	CIP-004-3a	R4	Lower	Moderate	5/20/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013695	CIP-004-3a	R4	Lower	Moderate	5/20/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014048	CIP-006-3c	R1.1	Medium	Minimal	5/20/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014049	CIP-006-3c	R1.1	Medium	Minimal	5/20/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014050	CIP-006-3c	R1.1	Medium	Minimal	5/20/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014040	CIP-006-3c	R1.1	Medium	Minimal	5/20/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014041	CIP-006-3c	R1.1	Medium	Minimal	5/20/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014042	CIP-006-3c	R1.1	Medium	Minimal	5/20/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014044	CIP-006-3c	R1.6.1	Medium	Minimal	5/20/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014046	CIP-006-3c	R1.6.1	Medium	Minimal	5/20/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014047	CIP-006-3c	R1.6.1	Medium	Minimal	5/20/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014031	CIP-003-3	R4	Medium	Moderate	5/1/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014032	CIP-003-3	R4	Medium	Moderate	5/1/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014033	CIP-003-3	R4	Medium	Moderate	5/1/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013321	CIP-007-3a	R3.1	Lower	Moderate	5/1/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013328	CIP-007-3a	R3.1	Lower	Moderate	5/1/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013336	CIP-007-3a	R3.1	Lower	Moderate	5/1/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014078	CIP-007-3a	R3.1, R3.2	Lower	Moderate	5/1/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014079	CIP-007-3a	R3.1, R3.2	Lower	Moderate	5/1/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014080	CIP-007-3a	R3.1, R3.2	Lower	Moderate	5/1/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014028	CIP-003-3	R5.2	Lower	Moderate	4/30/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014029	CIP-003-3	R5.2	Lower	Moderate	4/30/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014030	CIP-003-3	R5.2	Lower	Moderate	4/30/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014057	CIP-002-3	R3	High	Moderate	4/29/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014058	CIP-002-3	R3	High	Moderate	4/29/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014059	CIP-002-3	R3	High	Moderate	4/29/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014025	CIP-005-3a	R1.4, R1.6	Medium	Minimal	4/29/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014026	CIP-005-3a	R1.4, R1.6	Medium	Minimal	4/29/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014027	CIP-005-3a	R1.4, R1.6	Medium	Minimal	4/29/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014051	CIP-005-3a	R5.1	Lower	Minimal	4/29/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014052	CIP-005-3a	R5.1	Lower	Minimal	4/29/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014053	CIP-005-3a	R5.1	Lower	Minimal	4/29/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013308	CIP-003-1	R6	Lower	Minimal	4/27/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013311	CIP-003-1	R6	Lower	Minimal	4/27/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013314	CIP-003-1	R6	Lower	Minimal	4/27/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014054	CIP-005-3a	R2.1, R2.2, R2.4	Medium	Moderate	4/17/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014055	CIP-005-3a	R2.1, R2.2, R2.4	Medium	Moderate	4/17/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014056	CIP-005-3a	R2.1, R2.2, R2.4	Medium	Moderate	4/17/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013312	CIP-005-3a	R2.2	Medium	Minimal	4/17/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013332	CIP-005-3a	R2.2	Medium	Minimal	4/17/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013367	CIP-005-3a	R2.2	Medium	Minimal	4/17/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014169	CIP-005-1	R4	Medium	Moderate	4/17/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014170	CIP-005-1	R4	Medium	Moderate	4/17/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014171	CIP-005-1	R4	Medium	Moderate	4/17/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014066	CIP-007-3a	R5.1.2, R5.2, R5.2.1, R5.2.2, R5.2.3	Medium	Serious	4/17/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014067	CIP-007-3a	R5.1.2, R5.2, R5.2.1, R5.2.2, R5.2.3	Medium	Serious	4/17/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014068	CIP-007-3a	R5.1.2, R5.2, R5.2.1, R5.2.2, R5.2.3	Medium	Serious	4/17/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013428	CIP-007-3a	R5.2, R5.3	Lower	Moderate	4/17/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014009	CIP-007-3a	R5	Lower	Moderate	4/17/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013323	CIP-007-3a	R5.1.1, R5.1.3	Lower	Moderate	4/17/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013329	CIP-007-3a	R5.1.1, R5.1.3	Lower	Moderate	4/17/2015	X

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8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014008	CIP-007-3a	R5.1.1, R5.1.3	Lower	Moderate	4/17/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014060	CIP-007-1	R8.2, R8.3	Medium	Serious	4/17/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014061	CIP-007-1	R8.2, R8.3	Medium	Serious	4/17/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014062	CIP-007-1	R8.2, R8.3	Medium	Serious	4/17/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013325	CIP-007-3a	R8	Lower	Serious	4/17/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013331	CIP-007-3a	R8	Lower	Serious	4/17/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013339	CIP-007-3a	R8	Lower	Serious	4/17/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014075	CIP-008-3	R1.6	Lower	Moderate	4/15/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014076	CIP-008-3	R1.6	Lower	Moderate	4/15/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014077	CIP-008-3	R1.6	Lower	Moderate	4/15/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013692	CIP-007-1	R4	Medium	Minimal	4/13/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013694	CIP-007-1	R4	Medium	Minimal	4/13/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013696	CIP-007-1	R4	Medium	Minimal	4/13/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014069	CIP-007-3a	R4.1, R4.2	Medium	Minimal	4/13/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014070	CIP-007-3a	R4.1, R4.2	Medium	Minimal	4/13/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014071	CIP-007-3a	R4.1, R4.2	Medium	Minimal	4/13/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013322	CIP-007-3a	R1.3	Lower	Serious	3/13/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013327	CIP-007-3a	R1.3	Lower	Serious	3/13/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013334	CIP-007-3a	R1.3	Lower	Serious	3/13/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2015014591	CIP-006-3c	R5	Medium	Moderate	3/10/2015	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013710	CIP-004-3a	R2	Medium	Moderate	12/19/2014	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014034	CIP-003-3	R2.3	Medium	Minimal	12/5/2014	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014035	CIP-003-3	R2.3	Medium	Minimal	12/5/2014	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014036	CIP-003-3	R2.3	Medium	Minimal	12/5/2014	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013320	CIP-006-3c	R1.6	Medium	Minimal	5/30/2014	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013326	CIP-006-3c	R1.6	Medium	Minimal	5/30/2014	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013333	CIP-006-3c	R1.6	Medium	Minimal	5/30/2014	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013378	CIP-009-3	R5	Lower	Serious	3/31/2014	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013379	CIP-009-3	R5	Lower	Serious	3/31/2014	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013309	CIP-006-3c	R1.1	Medium	Minimal	2/10/2014	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2013013255	CIP-002-3	R2	High	Minimal	12/13/2013	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2013013256	CIP-002-3	R2	High	Minimal	12/13/2013	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2013012765	CIP-003-3	R6	Lower	Minimal	4/16/2013	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013335	CIP-007-3a	R2	Medium	Serious	4/16/2013	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014072	CIP-007-3a	R2.1, R2.2	Medium	Serious	4/16/2013	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014073	CIP-007-3a	R2.1, R2.2	Medium	Serious	4/16/2013	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014014074	CIP-007-3a	R2.1, R2.2	Medium	Serious	4/16/2013	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2013012767	CIP-007-3a	R2.2	Medium	Serious	4/16/2013	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013310	CIP-007-1	R2.2	Medium	Serious	4/16/2013	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013313	CIP-007-1	R2.2	Medium	Serious	4/16/2013	X
8/31/2015	NP15-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$425,000	SA	RFC2014013315	CIP-007-1	R2.2	Medium	Serious	4/16/2013	X
7/30/2015	NP15-32-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2012010826	CIP-007-1	R1, R1.1, R1.3	Medium	Moderate	TBD	X
7/30/2015	NP15-32-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2012010820	CIP-005-1	R1, R1.5, R1.6	Medium	Moderate	12/30/2015 (approved completion date)	X
7/30/2015	NP15-32-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2012010651	CIP-006-1	R1, R1.2, R1.8	Medium	Moderate	10/31/2015 (approved completion date)	X
7/30/2015	NP15-32-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2012010818	CIP-004-1	R3, R3.1, R3.2	Medium	Minimal	4/24/2015	X
7/30/2015	NP15-32-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2012010823	CIP-005-1	R4, R4.1, R4.2, R4.3, R4.4, R4.5	Medium	Moderate	12/19/2014	X
7/30/2015	NP15-32-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2012010831	CIP-007-1	R6, R6.1, R6.2, R6.5	Medium	Moderate	12/19/2014	X
7/30/2015	NP15-32-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2012010833	CIP-007-1	R8, R8.1, R8.2, R8.3, R8.4	Medium	Moderate	12/19/2014	X
7/30/2015	NP15-32-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2012010824	CIP-005-1	R5, R5.1	Lower	Minimal	12/12/2014	X
7/30/2015	NP15-32-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2012010834	CIP-007-1	R9	Medium	Minimal	12/12/2014	X
7/30/2015	NP15-32-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2012010822	CIP-005-1	R3	Medium	Moderate	12/5/2014	X
7/30/2015	NP15-32-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2012010830	CIP-007-1	R5, R5.1, R5.2.2, R5.2.3	Medium	Moderate	8/8/2014	X
7/30/2015	NP15-32-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2012010817	CIP-004-2	R2, R2.1	Medium	Moderate	7/2/2014	X
7/30/2015	NP15-32-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2012010819	CIP-004-1	R4, R4.2	Lower	Moderate	7/2/2014	X
7/30/2015	NP15-32-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2012010827	CIP-007-1	R2, R2.1	Medium	Moderate	6/30/2014	X
7/30/2015	NP15-32-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2012010821	CIP-005-1	R2, R2.5	Medium	Minimal	2/27/2014	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$) (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.)	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
7/30/2015	NP15-32-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2012010814	CIP-003-1	R4	Medium	Minimal	2/26/2014	X
7/30/2015	NP15-32-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2012010828	CIP-007-1	R3; R3.1; R3.2	Lower	Moderate	1/3/2014	X
7/30/2015	NP15-32-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2012010829	CIP-007-1	R4; R4.2	Medium	Moderate	5/28/2013	X
7/30/2015	NP15-32-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2012010813	CIP-003-1	R1; R1.1; R1.2	Medium	Minimal	5/20/2013	X
7/30/2015	NP15-32-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2012010654	CIP-006-1	R5	Lower	Minimal	11/30/2012	X
7/30/2015	NP15-32-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2012010837	CIP-006-1	R6; R6.1; R6.2; R6.3	Medium	Minimal	9/1/2012	X
7/30/2015	NP15-32-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2012010652	CIP-006-1	R3; R3.1	Medium	Moderate	9/1/2012	X
7/30/2015	NP15-32-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2012010653	CIP-006-1	R4; R4.1	Lower	Minimal	9/1/2012	X
7/30/2015	NP15-32-000	MRO	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	MRO2012010815	CIP-003-1	R5; R5.1	Lower	Minimal	11/17/2010	X
6/30/2015	NP15-30-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	WECC2014013772	CIP-006-3c	R2; R2.2	Medium	Minimal	11/24/2014	X
6/30/2015	NP15-30-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	WECC2014013973	CIP-007-1	R2	Medium	Moderate	11/17/2014	X
6/30/2015	NP15-30-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2013012551	CIP-005-3a	R3; R3.2	Medium	Minimal	10/23/2014	X
6/30/2015	NP15-30-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2013012555	CIP-007-3a	R6	Lower	Minimal	8/1/2014	X
6/30/2015	NP15-30-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2013012862	CIP-006-3c	R2; R2.2	Medium	Moderate	3/25/2014	X
6/30/2015	NP15-30-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	WECC2014013628	CIP-007-3a	R5; R5.1	Medium	Minimal	2/20/2014	X
6/30/2015	NP15-30-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	WECC2014013754	CIP-007-3a	R1	Medium	Minimal	2/4/2014	X
6/30/2015	NP15-30-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2013012550	CIP-005-3a	R1; R1.5	Medium	Moderate	8/23/2013	X
6/30/2015	NP15-30-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2013011817	CIP-005-3a	R1; R1.4	Medium	Moderate	7/31/2013	X
6/30/2015	NP15-30-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	WECC2013011657	CIP 002-1	R3; R3.3	High	Minimal	6/30/2013	X
6/30/2015	NP15-30-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2013011819	CIP-006-3c	R1; R1.6	Medium	Minimal	6/28/2013	X
6/30/2015	NP15-30-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2013011816	CIP-005-3a	R2; R2.2; R2.4	Medium	Minimal	5/21/2013	X
6/30/2015	NP15-30-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2013011818	CIP-006-3c	R1; R1.1	Medium	Minimal	12/19/2012	X
5/28/2015	NP15-29-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	FRCC2014013853	CIP-006-3c	R2; R2.1; R2.2	Medium	Moderate	4/1/2015	X
5/28/2015	NP15-29-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	FRCC2014013999	CIP-007-3a	R5; R5.2.1; R5.3.3	Lower	Moderate	1/27/2015	X
5/28/2015	NP15-29-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$13,000	SNOP	FRCC2014014007	CIP-003-3	R1	Medium	Moderate	1/23/2015	X
5/28/2015	NP15-29-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	FRCC2014014157	CIP-007-3a	R8; R8.2	Medium	Moderate	12/19/2014	X
5/28/2015	NP15-29-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	FRCC2014014158	CIP-005-3a	R1; R1.5	Medium	Moderate	12/19/2014	X
5/28/2015	NP15-29-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	FRCC2014014159	CIP-006-3c	R2; R2.2	Medium	Moderate	12/19/2014	X
5/28/2015	NP15-29-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$13,000	SNOP	FRCC2014014081	CIP-007-3a	R6; R6.4; R6.5	Lower	Minimal	12/18/2014	X
5/28/2015	NP15-29-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	FRCC2014014161	CIP-005-3a	R4; R4.2	Medium	Moderate	9/1/2014	X
5/28/2015	NP15-29-000	RF	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	RFC2011001222	CIP-003-1	R2.1	Lower	Minimal	11/1/2011	X
5/28/2015	NP15-29-000	RF	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	RFC201000699	CIP-002-1	R1	Medium	Moderate	6/6/2011	X
5/28/2015	NP15-29-000	RF	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	RFC201000700	CIP-002-1	R2	High	Moderate	6/6/2011	X
5/28/2015	NP15-29-000	RF	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	RFC201000701	CIP-002-1	R3	High	Moderate	6/6/2011	X
5/28/2015	NP15-29-000	RF	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	RFC201000702	CIP-002-1	R4	Lower	Moderate	6/6/2011	X
5/28/2015	NP15-29-000	RF	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	RFC200800463	CIP-001-1	R2	Medium	Moderate	4/30/2011	X
5/28/2015	NP15-29-000	RF	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	RFC200800464	CIP-001-1	R3	Medium	Moderate	4/30/2011	X
5/28/2015	NP15-29-000	RF	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	RFC200900462	CIP-001-1	R1	Medium	Moderate	4/30/2011	X
5/28/2015	NP15-29-000	RF	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	RFC201000698	CIP-001-1	R4	Medium	Moderate	4/30/2011	X
4/30/2015	NP15-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SA	RFC2012011263	CIP-002-3	R3.1	Lower	Minimal	12/31/2015 (approved completion date)	X
4/30/2015	NP15-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SA	RFC2012011266	CIP-002-3	R3.1	Lower	Minimal	12/31/2015 (approved completion date)	X
4/30/2015	NP15-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SA	RFC2012011269	CIP-002-3	R3.1	Lower	Minimal	12/31/2015 (approved completion date)	X
4/30/2015	NP15-28-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	WECC2013013110	CIP 006-1	R1; R1.8	Medium	Minimal	12/19/2014	X
4/30/2015	NP15-24-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2013013201	CIP-005-1	R1; R1.5	Medium	Serious	12/5/2014	X
4/30/2015	NP15-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SA	RFC2013013005	CIP-006-1	R1.1	Medium	Minimal	12/2/2014	X
4/30/2015	NP15-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SA	RFC2013013006	CIP-006-1	R1.1	Medium	Minimal	12/2/2014	X
4/30/2015	NP15-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SA	RFC2013012513	CIP-007-1	R3	Lower	Minimal	11/30/2014	X
4/30/2015	NP15-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SA	RFC2013012514	CIP-007-1	R3	Lower	Minimal	11/30/2014	X
4/30/2015	NP15-28-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	WECC2013012851	CIP-004-3a	R4	Lower	Moderate	11/24/2014	X
4/30/2015	NP15-24-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2013013205	CIP-006-1	R1; R1.8	Medium	Serious	10/31/2014	X
4/30/2015	NP15-24-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2013013208	CIP-007-1	R3; R3.2	Lower	Serious	10/31/2014	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$) (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.)	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
4/30/2015	NP15-24-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2013013254	CIP-007-3a	R3	Lower	Serious	10/31/2014	X
4/30/2015	NP15-24-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2013013202	CIP-005-1	R2: R2.1, R2.2	Medium	Serious	9/30/2014	X
4/30/2015	NP15-24-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2013013204	CIP-005-1	R4	Medium	Serious	9/30/2014	X
4/30/2015	NP15-24-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2013013206	CIP-007-1	R1	Lower	Serious	9/30/2014	X
4/30/2015	NP15-24-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2013013213	CIP-007-1	R8: R8.1, R8.2, R8.3	Medium	Serious	9/30/2014	X
4/30/2015	NP15-24-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2013013207	CIP-007-1	R2: R2.1, R2.2	Medium	Serious	8/31/2014	X
4/30/2015	NP15-24-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2013013210	CIP-007-1	R5: R5.1.2, R5.2	Medium	Serious	8/31/2014	X
4/30/2015	NP15-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SA	RFC2013012410	CIP-007-1	R2	Medium	Moderate	6/24/2014	X
4/30/2015	NP15-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SA	RFC2013012413	CIP-007-1	R2	Medium	Moderate	6/24/2014	X
4/30/2015	NP15-24-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2013013214	CIP-009-1	R5	Lower	Serious	4/30/2014	X
4/30/2015	NP15-24-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2013013203	CIP-005-1	R3: R3.2	Medium	Serious	3/31/2014	X
4/30/2015	NP15-24-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2013013211	CIP-007-1	R6: R6.1, R6.2, R6.4, R6.5	Medium	Serious	3/31/2014	X
4/30/2015	NP15-24-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2013013209	CIP-007-1	R4: R4.1	Medium	Serious	2/28/2014	X
4/30/2015	NP15-24-000	RF	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	RFC2013013212	CIP-007-1	R7	Lower	Minimal	2/28/2014	X
4/30/2015	NP15-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SA	RFC2013013007	CIP-006-1	R1.8	Medium	Minimal	1/9/2014	X
4/30/2015	NP15-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SA	RFC2013012753	CIP-007-3a	R1	Medium	Minimal	12/13/2013	X
4/30/2015	NP15-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SA	RFC2013012768	CIP-007-3a	R1	Medium	Minimal	12/13/2013	X
4/30/2015	NP15-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SA	RFC2013012409	CIP-006-3c	R4	Medium	Minimal	8/9/2013	X
4/30/2015	NP15-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SA	RFC2013012717	CIP-003-3	R6	Lower	Minimal	8/5/2013	X
4/30/2015	NP15-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SA	RFC2013012303	CIP-006-3c	R1.1	Medium	Minimal	6/30/2013	X
4/30/2015	NP15-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SA	RFC2013012512	CIP-005-1	R1.5	Medium	Minimal	6/4/2013	X
4/30/2015	NP15-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SA	RFC2013012411	CIP-007-1	R5.2.1	Medium	Minimal	5/31/2013	X
4/30/2015	NP15-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SA	RFC2013012401	CIP-004-3	R4	Lower	Minimal	4/30/2013	X
4/30/2015	NP15-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SA	RFC2013012402	CIP-005-3	R5	Lower	Minimal	4/30/2013	X
4/30/2015	NP15-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SA	RFC2013012412	CIP-007-1	R5.3.3	Medium	Minimal	4/30/2013	X
4/30/2015	NP15-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SA	RFC2013012414	CIP-007-1	R5.3.3	Medium	Minimal	4/30/2013	X
4/30/2015	NP15-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SA	RFC2013012718	CIP-007-3a	R6	Lower	Minimal	4/30/2013	X
3/31/2015	NP15-23-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$85,000	SNOP	WECC2014013890	CIP-004-3a	R4: R4.2	Lower	Minimal	2/16/2015	X
3/31/2015	NP15-23-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	WECC2014013373	CIP-007-3a	R8	Lower	Minimal	12/15/2014	X
3/31/2015	NP15-23-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	WECC2014013375	CIP-006-3a	R2	Medium	Minimal	11/12/2014	X
3/31/2015	NP15-23-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$85,000	SNOP	WECC2014013897	CIP-007-3a	R8: R8.2, R8.3	Lower	Moderate	11/5/2014	X
3/31/2015	NP15-23-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$85,000	SNOP	WECC2014013504	CIP-006-1	R1: R1.8	Medium	Minimal	8/30/2014	X
3/31/2015	NP15-23-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$85,000	SNOP	WECC2014013750	CIP-003-3	R6	Lower	Minimal	8/29/2014	X
3/31/2015	NP15-23-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$85,000	SNOP	WECC2014013751	CIP-007-3a	R1	Medium	Minimal	8/29/2014	X
3/31/2015	NP15-23-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	WECC2014014001	CIP-007-3a	R6: R6.4, R6.5	Lower	Minimal	8/1/2014	X
3/31/2015	NP15-23-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$85,000	SNOP	WECC2014013505	CIP-007-3a	R3	Lower	Minimal	6/26/2014	X
3/31/2015	NP15-23-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	WECC2014013374	CIP-005-3a	R2	Medium	Moderate	5/9/2014	X
3/31/2015	NP15-23-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$85,000	SNOP	WECC2014013503	CIP-005-3a	R5: R5.2	Lower	Minimal	1/9/2014	X
3/31/2015	NP15-23-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	WECC2013012654	CIP-004-3a	R2	Lower	Minimal	8/16/2013	X
2/26/2015	NP15-22-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$20,000	SNOP	SERC2013013058	CIP-006-3c	R1: R1.1, R1.6, R1.6.1	Medium	Minimal	4/27/2015 (approved completion date)	X
2/26/2015	NP15-22-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	NPCC2013012894	CIP-007-3a	R4: R4.2	Medium	Minimal	11/6/2014	X
2/26/2015	NP15-22-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$20,000	SNOP	SERC2014013341	CIP-004-3a	R4: R4.2	Lower	Minimal	10/15/2014	X
2/26/2015	NP15-22-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	WECC2014014214	CIP-007-3a	R8	Medium	Minimal	10/3/2014	X
2/26/2015	NP15-22-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	WECC2014014210	CIP-005-3a	R2	Medium	Minimal	9/8/2014	X
2/26/2015	NP15-22-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$20,000	SNOP	SERC2014013342	CIP-006-3c	R5	Medium	Moderate	7/21/2014	X
2/26/2015	NP15-22-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$20,000	SNOP	SERC2014013620	CIP-007-3a	R5: R5.3, R5.3.3	Medium	Minimal	6/30/2014	X
2/26/2015	NP15-22-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	NPCC2014013398	CIP-004-3a	R4: R4.2	Lower	Moderate	4/25/2014	X
2/26/2015	NP15-22-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	NPCC2014013576	CIP-007-3a	R5: R5.3, R5.3.3	Medium	Minimal	4/15/2014	X
2/26/2015	NP15-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SA	SERC2013012691	CIP-005-1	R1: R1.1, R1.5	Medium	Moderate	11/29/2013	X
2/26/2015	NP15-22-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$20,000	SNOP	SERC2013013082	CIP-004-3a	R4	Lower	Minimal	11/20/2013	X
2/26/2015	NP15-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SA	SERC2012009565	CIP-007-1	R3	Lower	Serious	10/11/2013	X
2/26/2015	NP15-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SA	SERC2013012695	CIP-007-1	R1	Medium	Minimal	9/25/2013	X
2/26/2015	NP15-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SA	SERC2013012693	CIP-006-1	R3	Medium	Moderate	9/23/2013	X
2/26/2015	NP15-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SA	SERC2013012689	CIP-002-1	R3	High	Minimal	8/14/2013	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$ (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.))	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
2/26/2015	NP15-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SA	SERC2013012694	CIP-007-1	R2; R2.1	Medium	Minimal	8/13/2013	X
2/26/2015	NP15-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SA	SERC2012009647	CIP-007-1	R4	Medium	Moderate	6/1/2013	X
2/26/2015	NP15-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SA	SERC2013011702	CIP-006-3c	R1; R1.1; R1.6	Medium	Minimal	5/11/2013	X
2/26/2015	NP15-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SA	SERC2012009566	CIP-007-1	R5; R5.2; R5.3	Medium	Moderate	3/10/2013	X
2/26/2015	NP15-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SA	SERC2014013574	CIP-005-1	R1; R1.4	Medium	Minimal	2/11/2013	X
2/26/2015	NP15-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SA	SERC2013011676	CIP-005-1	R3	Medium	Moderate	12/19/2012	X
2/26/2015	NP15-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SA	SERC2012009564	CIP-007-1	R6	Medium	Moderate	2/2/2012	X
1/30/2015	NP15-19-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2014013705	CIP-009-1	R4	Lower	Moderate	11/24/2014	X
1/30/2015	NP15-19-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2014013427	CIP-002-1	R3	High	Moderate	9/30/2014	X
1/30/2015	NP15-19-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	SPP2012011415	CIP-007-1	R5; R5.1.2, R5.1.3, R5.2.3, R5.3.3	Medium	Moderate	9/15/2014	X
1/30/2015	NP15-19-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	SPP2012010987	CIP-005-1	R2; R2.1; R2.2; R2.4	Medium	Moderate	6/6/2014	X
1/30/2015	NP15-19-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	SPP2012011416	CIP-007-1	R6	Lower	Moderate	1/2/2014	X
1/30/2015	NP15-19-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	SPP2012010645	CIP-006-1	R1.8	Medium	Moderate	10/30/2013	X
1/30/2015	NP15-19-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	SPP2012011410	CIP-007-2a	R1	Medium	Moderate	8/2/2013	X
1/30/2015	NP15-19-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	SPP2012010644	CIP-007-1	R3; R3.1; R3.2	Lower	Moderate	1/2/2013	X
1/30/2015	NP15-19-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	No Penalty	SNOP	SPP2012011085	CIP-005-1	R1	Medium	Minimal	10/12/2012	X
12/30/2014	NP15-18-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	WECC2013011875	CIP-006-1	R1	Medium	Minimal	3/13/2014 (Accepted CMP date)	X
12/30/2014	NP15-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	SERC2013012941	CIP-005-3a	R1; R1.5	Medium	Moderate	2/10/2015 (approved completion date)	X
12/30/2014	NP15-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	SERC2013012942	CIP-005-3a	R2; R2.1; R2.4; R2.5	Medium	Moderate	2/10/2015 (approved completion date)	X
12/30/2014	NP15-15-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2014013371	CIP-003-3	R6	Lower	Minimal	9/30/2014	X
12/30/2014	NP15-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$29,000	SNOP	SERC2013012154	CIP-006-3c	R2; R2.2	Medium	Moderate	9/30/2014	X
12/30/2014	NP15-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$29,000	SNOP	SERC2013012520	CIP-005-3a	R1	Medium	Moderate	9/30/2014	X
12/30/2014	NP15-18-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	WECC2012011494	CIP-007-1	R3	Lower	Minimal	9/5/2014	X
12/30/2014	NP15-15-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2013011770	CIP-005-1	R1.1	Medium	Minimal	8/29/2014	X
12/30/2014	NP15-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	SERC2014013882	CIP-004-3a	R4; R4.1; R4.2	Lower	Minimal	7/29/2014	X
12/30/2014	NP15-15-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2013012242	CIP-006-1	R1.8	Medium	Serious	7/1/2014	X
12/30/2014	NP15-17-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	WECC2013012935	CIP-005-1	R2; R2.1	Medium	Minimal	6/25/2014	X
12/30/2014	NP15-18-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	WECC2014013752	CIP-005-3a	R1; R1.5	Medium	Minimal	6/13/2014	X
12/30/2014	NP15-18-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	WECC2014013727	CIP-005-3a	R1; R1.5	Medium	Minimal	6/13/2014	X
12/30/2014	NP15-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	SERC2013012825	CIP-007-3a	R1	Medium	Minimal	6/6/2014	X
12/30/2014	NP15-15-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2013012532	CIP-007-1	R3	Lower	Moderate	5/13/2014	X
12/30/2014	NP15-15-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2013012491	CIP-009-1	R1	Medium	Minimal	5/6/2014	X
12/30/2014	NP15-15-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2013012483	CIP-002-1	R3	High	Minimal	4/24/2014	X
12/30/2014	NP15-15-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2013012486	CIP-007-1	R1	Medium	Moderate	4/14/2014	X
12/30/2014	NP15-15-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2013012487	CIP-007-1	R2.2	Medium	Serious	4/7/2014	X
12/30/2014	NP15-17-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	WECC2013012940	CIP-007-1	R6; R6.1	Medium	Minimal	2/22/2014	X
12/30/2014	NP15-15-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2013012490	CIP-006-1	R3	Medium	Moderate	2/20/2014	X
12/30/2014	NP15-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$29,000	SNOP	SERC2014013403	CIP-002-1	R3	High	Minimal	2/4/2014	X
12/30/2014	NP15-17-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	WECC2013012326	CIP-005-1	R1; R1.5	Medium	Minimal	1/29/2014	X
12/30/2014	NP15-17-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	WECC2013012327	CIP-006-1	R1; R1.8	Medium	Minimal	1/29/2014	X
12/30/2014	NP15-17-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	WECC2013012033	CIP-009-1	R1	Medium	Minimal	1/29/2014	X
12/30/2014	NP15-17-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	WECC2013012034	CIP-009-2	R4	Lower	Minimal	1/29/2014	X
12/30/2014	NP15-17-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	WECC2013012946	CIP-006-3c	R8	Medium	Minimal	1/22/2014	X
12/30/2014	NP15-15-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2013012488	CIP-005-1	R1.5	Medium	Minimal	1/15/2014	X
12/30/2014	NP15-17-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	WECC2013012685	CIP-004-1	R4; R4.1	Lower	Minimal	12/30/2013	X
12/30/2014	NP15-17-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	WECC2013012937	CIP-005-3a	R4	Medium	Minimal	12/30/2013	X
12/30/2014	NP15-17-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	WECC2013012938	CIP-007-3a	R8; R8.4	Medium	Minimal	12/30/2013	X
12/30/2014	NP15-15-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2013012489	CIP-007-1	R8.3	Medium	Moderate	12/18/2013	X
12/30/2014	NP15-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	SERC2013012826	CIP-007-3a	R6	Lower	Minimal	11/17/2013	X
12/30/2014	NP15-15-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2013011761	CIP-006-1	R1.1	Medium	Minimal	11/4/2013	X
12/30/2014	NP15-18-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	WECC2012011493	CIP-007-1	R2	Medium	Minimal	10/31/2013	X
12/30/2014	NP15-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	SERC2013012824	CIP-004-3	R4; R4.1	Lower	Minimal	10/18/2013	X
12/30/2014	NP15-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$29,000	SNOP	SERC2013012994	CIP-004-3	R4	Lower	Minimal	9/17/2013	X
12/30/2014	NP15-17-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	WECC2013012939	CIP-007-1	R5; R5.2	Lower	Minimal	9/11/2013	X
12/30/2014	NP15-13-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SA	RFC2013013030	CIP-007-3a	R3	Lower	Minimal	9/4/2013	X
12/30/2014	NP15-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$29,000	SNOP	SERC2013012155	CIP-005-1	R1; R1.5	Medium	Moderate	8/13/2013	X
12/30/2014	NP15-15-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2013012237	CIP-004-3	R4	Lower	Minimal	7/31/2013	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$ (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.))	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
12/30/2014	NP15-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2013012741	CIP-003-3	R6	Lower	Moderate	7/24/2013	X
12/30/2014	NP15-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2012009713	CIP-005-1	R1; R1.5	Medium	Moderate	7/11/2013	X
12/30/2014	NP15-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2012009715	CIP-006-1	R1; R1.8	Medium	Moderate	7/11/2013	X
12/30/2014	NP15-17-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	WECC2013012030	CIP-002-1	R3; R3.2	Lower	Minimal	6/27/2013	X
12/30/2014	NP15-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2012009714	CIP-005-1	R3; R3.2	Medium	Moderate	6/27/2013	X
12/30/2014	NP15-17-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	WECC2013012032	CIP-004-1	R2; R2.2	Medium	Minimal	6/26/2013	X
12/30/2014	NP15-18-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	WECC2013011964	CIP-005-3a	R4	Medium	Minimal	6/21/2013	X
12/30/2014	NP15-15-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2013012243	CIP-007-1	R6	Medium	Moderate	6/19/2013	X
12/30/2014	NP15-18-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	WECC2013012008	CIP-007-3a	R5	Lower	Minimal	5/20/2013	X
12/30/2014	NP15-15-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2013012240	CIP-005-3a	R3	Medium	Minimal	4/30/2013	X
12/30/2014	NP15-15-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2013011754	CIP-005-2	R1.5	Medium	Minimal	4/8/2013	X
12/30/2014	NP15-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2012009716	CIP-007-1	R2; R2.2	Medium	Moderate	3/31/2013	X
12/30/2014	NP15-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2012009721	CIP-007-1	R8; R8.2	Lower	Moderate	3/31/2013	X
12/30/2014	NP15-18-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	WECC2013011963	CIP-005-3	R2	Medium	Minimal	3/20/2013	X
12/30/2014	NP15-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2012009717	CIP-007-1	R4	Medium	Minimal	1/29/2013	X
12/30/2014	NP15-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2012009719	CIP-007-1	R5; R5.3	Medium	Minimal	1/15/2013	X
12/30/2014	NP15-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$29,000	SNOP	SERC2013011812	CIP-006-3c	R4	Medium	Minimal	12/5/2012	X
12/30/2014	NP15-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2012009718	CIP-007-1	R3	Lower	Minimal	11/30/2012	X
12/30/2014	NP15-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2012007238	CIP-004-3	R4	Lower	Minimal	10/31/2012	X
12/30/2014	NP15-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2012007222	CIP-007-1	R6	Lower	Minimal	10/17/2012	X
12/30/2014	NP15-15-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2013011763	CIP-006-3c	R5	Medium	Minimal	9/18/2012	X
12/30/2014	NP15-15-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2013012498	CIP-005-1	R1.1	Medium	Minimal	6/26/2012	X
12/30/2014	NP15-15-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2013012496	CIP-005-1	R1.5	Medium	Minimal	6/26/2012	X
12/30/2014	NP15-15-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2013012244	CIP-006-1	R1.8	Medium	Serious	6/26/2012	X
12/30/2014	NP15-15-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2013012495	CIP-006-1	R3	Medium	Moderate	6/26/2012	X
12/30/2014	NP15-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2012009722	CIP-006-3a	R1; R1.7	Lower	Minimal	4/27/2012	X
12/30/2014	NP15-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2012009709	CIP-002-1	R1	Medium	Moderate	11/10/2011	X
12/30/2014	NP15-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2012009712	CIP-003-1	R2	Medium	Moderate	11/10/2011	X
11/25/2014	NP15-9-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	SPP2012010242	CIP-006-1	R1; R1.8	Lower	Moderate	1/5/2015 (approved completion date)	X
11/25/2014	NP15-8-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$38,000	SNOP	WECC2013012248	CIP-005-3	R2; R2.1; R2.2; R2.4	Medium	Minimal	10/13/2014	X
11/25/2014	NP15-8-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$38,000	SNOP	WECC2013012249	CIP-005-3	R4; R4.2; R4.4	Medium	Minimal	10/13/2014	X
11/25/2014	NP15-8-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$38,000	SNOP	WECC2013012226	CIP-007-3a	R2; R2.1; R2.2	Medium	Minimal	10/13/2014	X
11/25/2014	NP15-8-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	MRO2012010574	CIP-004-1	R4; 4.1; 4.2	Medium	Moderate	8/31/2014	X
11/25/2014	NP15-8-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$38,000	SNOP	WECC2013012201	CIP-006-3c	R3	Medium	Minimal	8/21/2014	X
11/25/2014	NP15-8-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	MRO2012010804	CIP-005-1	R1; 1.5	Medium	Moderate	7/13/2014	X
11/25/2014	NP15-8-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$38,000	SNOP	WECC2013012204	CIP-006-3c	R5	Medium	Minimal	6/27/2014	X
11/25/2014	NP15-8-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$38,000	SNOP	WECC2013012203	CIP-006-3c	R4	Medium	Minimal	6/6/2014	X
11/25/2014	NP15-11-000	RF	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	RFC2013012304	CIP-002-1	R3	High	Moderate	5/15/2014	X
11/25/2014	NP15-11-000	RF	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	RFC2012011370	CIP-005-2	R1.5	Medium	Moderate	5/15/2014	X
11/25/2014	NP15-11-000	RF	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	RFC2013012307	CIP-005-1	R2	Medium	Moderate	5/15/2014	X
11/25/2014	NP15-11-000	RF	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	RFC2013012318	CIP-005-1	R4	Medium	Minimal	5/15/2014	X
11/25/2014	NP15-11-000	RF	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	RFC2013012319	CIP-006-2	R1	Medium	Minimal	5/15/2014	X
11/25/2014	NP15-11-000	RF	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	RFC2012011366	CIP-006-2	R2.2	Medium	Moderate	5/15/2014	X
11/25/2014	NP15-11-000	RF	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	RFC2012011373	CIP-007-1	R1	Medium	Moderate	5/15/2014	X
11/25/2014	NP15-11-000	RF	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	RFC2012011372	CIP-007-2a	R2	Medium	Moderate	5/15/2014	X
11/25/2014	NP15-11-000	RF	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	RFC2013012439	CIP-007-2a	R6	Lower	Minimal	5/15/2014	X
11/25/2014	NP15-11-000	RF	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	RFC2012011371	CIP-007-2a	R8	Medium	Serious	5/15/2014	X
11/25/2014	NP15-11-000	RF	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	RFC2013012320	CIP-008-1	R1	Lower	Moderate	5/15/2014	X
11/25/2014	NP15-11-000	RF	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	RFC2013012321	CIP-009-1	R1	Medium	Moderate	5/15/2014	X
11/25/2014	NP15-11-000	RF	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	RFC2013012463	CIP-009-1	R5	Lower	Minimal	5/15/2014	X
11/25/2014	NP15-8-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$5,000	SNOP	WECC2014013490	CIP-002-3	R2	High	Minimal	2/28/2014	X
11/25/2014	NP15-8-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$5,000	SNOP	WECC2014013491	CIP-002-3	R3	High	Minimal	2/28/2014	X
11/25/2014	NP15-8-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$5,000	SNOP	WECC2014013492	CIP-002-3	R4	Lower	Minimal	2/28/2014	X
11/25/2014	NP15-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	WECC2013012579	CIP-002-2	R3; R3.3	High	Moderate	11/27/2013	X
11/25/2014	NP15-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	WECC2013012583	CIP-007-3a	R8; R8.2	Medium	Moderate	10/31/2013	X
11/25/2014	NP15-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	WECC2013012582	CIP-007-3a	R7; R7.1	Lower	Minimal	9/13/2013	X
11/25/2014	NP15-9-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	MRO2012010698	CIP-004-3	R4; R4.1; R4.2	Lower	Minimal	6/17/2013	X
11/25/2014	NP15-9-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	MRO2012011501	CIP-006-1	R1; R1.8	Lower	Moderate	5/29/2013	X
11/25/2014	NP15-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	WECC2013012308	CIP-005-3a	R1; R1.5	Medium	Minimal	5/17/2013	X
11/25/2014	NP15-11-000	RF	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	RFC2012011084	CIP-005-3a	R1.5	Medium	Moderate	2/15/2013	X
11/25/2014	NP15-9-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	SPP2012010241	CIP-007-1	R3	Lower	Moderate	1/18/2013	X
11/25/2014	NP15-8-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$38,000	SNOP	WECC2012011507	CIP-005-3a R1	R1; R1.5	Medium	Moderate	12/13/2012	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$) (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.)	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
11/25/2014	NP15-9-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	MRO2012009992	CIP-007-1	R5; R5.3.1; R5.3.2; R5.3.3	Medium	Serious	12/5/2012	X
11/25/2014	NP15-9-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	MRO2012009900	CIP-005-1	R1; R1.5; R1.6	Medium	Moderate	11/28/2012	X
11/25/2014	NP15-9-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	MRO2012009899	CIP-006-1	R1; R1.8	Lower	Serious	11/28/2012	X
11/25/2014	NP15-11-000	RF	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	RFC2012010916	CIP-003-3	R2	Medium	Minimal	10/23/2012	X
11/25/2014	NP15-11-000	RF	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	RFC2012010917	CIP-003-3	R3	Lower	Minimal	10/23/2012	X
11/25/2014	NP15-11-000	RF	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	RFC2012010918	CIP-005-1	R1.5	Medium	Moderate	8/25/2012	X
11/25/2014	NP15-11-000	RF	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	RFC2012010919	CIP-007-2a	R5	Lower	Minimal	8/25/2012	X
11/25/2014	NP15-11-000	RF	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	RFC2012010328	CIP-004-3	R2	Lower	Minimal	7/23/2012	X
11/25/2014	NP15-8-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	MRO2012010805	CIP-006-1	R1; 1.8	Medium	Moderate	7/13/2012	X
11/25/2014	NP15-8-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	MRO2012010806	CIP-007-1	R5; 5.3.3	Medium	Minimal	7/13/2012	X
11/25/2014	NP15-9-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	MRO2012009882	CIP-003-2	R5; R5.1.1; R5.1.2; R5.2; R5.3	Lower	Serious	6/27/2012	X
11/25/2014	NP15-9-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	MRO2012010966	CIP-006-3c	R6	Lower	Minimal	5/12/2012	X
11/25/2014	NP15-9-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	MRO2012010967	CIP-006-3c	R4	Medium	Minimal	4/25/2012	X
11/25/2014	NP15-9-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	MRO201100289	CIP-003-1	R6	Lower	Moderate	3/22/2012	X
11/25/2014	NP15-9-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	MRO201100288	CIP-005-1	R5; R5.1; R5.2	Lower	Minimal	3/22/2012	X
11/25/2014	NP15-9-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	MRO201100292	CIP-007-1	R7; R7.1; R7.2	Lower	Minimal	3/22/2012	X
11/25/2014	NP15-9-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	MRO201100323	CIP-004-2	R3; R3.1; R3.2	Medium	Serious	12/19/2011	X
11/25/2014	NP15-9-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	MRO201100287	CIP-005-1	R1; R1.5	Medium	Moderate	11/22/2011	X
11/25/2014	NP15-9-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	MRO201100290	CIP-006-3a	R2; R2.1; R2.2	Medium	Serious	11/22/2011	X
11/25/2014	NP15-9-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	MRO201000232	CIP-007-1	R5; R5.2.3	Medium	Minimal	6/30/2011	X
11/25/2014	NP15-9-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	MRO201100322	CIP-004-1	R4; R4.1	Lower	Minimal	6/21/2011	X
11/25/2014	NP15-9-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	MRO201100325	CIP-006-1	R1; R1.2; R1.3; R1.7	Medium	Minimal	4/2/2011	X
10/30/2014	NP15-7-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$56,000	SNOP	TRE2014013983	CIP-005-1	R1; R1.5	Medium	Moderate	9/30/2014	X
10/30/2014	NP15-7-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	FRCC2014013420	CIP-004-3a	R2; R2.3	Lower	Minimal	7/31/2014	X
10/30/2014	NP15-7-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	FRCC2014013355	CIP-005-3a	R1; R1.1; R1.6	Medium	Moderate	7/15/2014	X
10/30/2014	NP15-7-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	FRCC2014013357	CIP-007-3a	R2; R2.1; R2.2; R2.3	Medium	Moderate	6/17/2014	X
10/30/2014	NP15-7-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$56,000	SNOP	TRE2013013144	CIP-003-3	R6	Lower	Minimal	5/7/2014	X
10/30/2014	NP15-7-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	TRE2014013515	CIP-007-3a	R5; R5.3.3	Medium	Moderate	5/3/2014	X
10/30/2014	NP15-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$45,000	SA	SPP2013011806	CIP-007-1	R3	Lower	Moderate	5/2/2014	X
10/30/2014	NP15-7-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$56,000	SNOP	TRE2014013369	CIP-007-1	R5	Lower	Minimal	5/1/2014	X
10/30/2014	NP15-7-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	FRCC2014013414	CIP-007-1	R3; R3.1	Lower	Moderate	4/10/2014	X
10/30/2014	NP15-7-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$56,000	SNOP	TRE2013012882	CIP-007-1	R4; R4.2	Medium	Minimal	4/7/2014	X
10/30/2014	NP15-7-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	FRCC2014013354	CIP-008-3	R1; R1.2	Lower	Moderate	4/4/2014	X
10/30/2014	NP15-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$45,000	SA	SPP2013011804	CIP-007-1	R1	Medium	Moderate	3/3/2014	X
10/30/2014	NP15-6-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$106,000	SA	TRE2013012971	CIP-007-3a	R3; R3.2	Lower	Minimal	2/23/2014	X
10/30/2014	NP15-7-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$56,000	SNOP	TRE2013012881	CIP-007-1	R1; R1.2	Lower	Minimal	2/21/2014	X
10/30/2014	NP15-7-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	FRCC2014013346	CIP-005-3a	R3; R3.2	Medium	Moderate	2/18/2014	X
10/30/2014	NP15-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$45,000	SA	SPP2013011799	CIP-005-1	R2	Medium	Minimal	1/20/2014	X
10/30/2014	NP15-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$45,000	SA	SPP2013011800	CIP-005-1	R3	Medium	Minimal	1/20/2014	X
10/30/2014	NP15-6-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$106,000	SA	TRE2013012970	CIP-007-3a	R1; R1.2; R1.3	Medium	Minimal	1/16/2014	X
10/30/2014	NP15-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$45,000	SA	SPP2013012355	CIP-006-1	R1	Medium	Minimal	1/14/2014	X
10/30/2014	NP15-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$45,000	SA	SPP2013011801	CIP-005-1	R4	Medium	Moderate	12/9/2013	X
10/30/2014	NP15-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$45,000	SA	SPP2013011809	CIP-007-3	R8	Medium	Moderate	12/9/2013	X
10/30/2014	NP15-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$45,000	SA	SPP2013011798	CIP-005-1	R1	Medium	Moderate	11/26/2013	X
10/30/2014	NP15-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$45,000	SA	SPP2013012841	CIP-003-1	R6	Lower	Minimal	11/26/2013	X
10/30/2014	NP15-6-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$106,000	SA	TRE2013012624	CIP-006-3c	R5	Medium	Minimal	11/20/2013	X
10/30/2014	NP15-6-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$106,000	SA	TRE2013012625	CIP-006-3c	R6	Lower	Minimal	11/20/2013	X
10/30/2014	NP15-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$45,000	SA	SPP2013011802	CIP-006-1	R1	Medium	Minimal	11/4/2013	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$ (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.))	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
10/30/2014	NP15-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$45,000	SA	SPP2013011805	CIP-007-1	R2	Medium	Moderate	11/4/2013	X
10/30/2014	NP15-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$45,000	SA	SPP201301117	CIP-006-3c	R5	Medium	Minimal	10/29/2013	X
10/30/2014	NP15-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$45,000	SA	SPP2013011807	CIP-007-1	R5	Lower	Moderate	10/11/2013	X
10/30/2014	NP15-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$45,000	SA	SPP2013012752	CIP-006-2	R3	Medium	Minimal	10/9/2013	X
10/30/2014	NP15-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$45,000	SA	SPP2013012844	CIP-005-3a	R5	Lower	Minimal	9/20/2013	X
10/30/2014	NP15-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$45,000	SA	SPP2013012845	CIP-006-2	R1	Medium	Minimal	9/17/2013	X
10/30/2014	NP15-6-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$106,000	SA	TRE2013012968	CIP-007-1	R2; R2.1	Medium	Minimal	8/28/2013	X
10/30/2014	NP15-6-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$106,000	SA	TRE2013012972	CIP-007-3a	R4; R4.2	Medium	Minimal	7/28/2013	X
10/30/2014	NP15-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$45,000	SA	SPP2013011808	CIP-009-1	R1	Medium	Minimal	6/26/2013	X
10/30/2014	NP15-7-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	SPP2012011245	CIP-005-3	R1; R1.4; R1.5; R1.6	Medium	Moderate	4/30/2013	X
10/30/2014	NP15-7-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	SPP2012011244	CIP-005-3a	R2; R2.1	Medium	Minimal	4/26/2013	X
10/30/2014	NP15-7-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	SPP2012011246	CIP-006-3a	R2; R2.2	Medium	Moderate	4/26/2013	X
10/30/2014	NP15-7-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	SPP2012011247	CIP-007-3a	R4; R4.2	Medium	Moderate	4/26/2013	X
10/30/2014	NP15-7-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	SPP2012011248	CIP-007-3a	R3; R3.2	Lower	Moderate	4/26/2013	X
10/30/2014	NP15-6-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$106,000	SA	TRE2013012262	CIP-006-1	R3	Medium	Minimal	4/19/2013	X
10/30/2014	NP15-6-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$106,000	SA	TRE2013012261	CIP-002-1	R3; R3.1; R3.2	High	Minimal	4/18/2013	X
10/30/2014	NP15-6-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$106,000	SA	TRE2013012232	CIP-002-1	R2	High	Minimal	3/14/2013	X
10/30/2014	NP15-6-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$106,000	SA	TRE2013012234	CIP-007-1	R5; R5.1; R5.2; R5.3.3	Medium	Moderate	3/5/2013	X
10/30/2014	NP15-6-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$106,000	SA	TRE2013012233	CIP-003-1	R4; R4.3	Medium	Moderate	3/1/2013	X
10/30/2014	NP15-6-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$106,000	SA	TRE2013012235	CIP-005-1	R1; R1.4; R1.6	Medium	Minimal	3/1/2013	X
10/30/2014	NP15-6-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$106,000	SA	TRE2012011177	CIP-005-3	R5; R5.2	Lower	Minimal	3/1/2013	X
10/30/2014	NP15-6-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$106,000	SA	TRE2012011181	CIP-008-3	R1; R1.2	Lower	Minimal	3/1/2013	X
10/30/2014	NP15-6-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$106,000	SA	TRE2012011159	CIP-004-1	R4; R4.1	Lower	Minimal	2/28/2013	X
10/30/2014	NP15-6-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$106,000	SA	TRE2012011179	CIP-007-3a	R3; R3.1; R3.2	Lower	Minimal	2/26/2013	X
10/30/2014	NP15-6-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$106,000	SA	TRE2012011153	CIP-003-1	R5; R5.1; R5.2; R5.3	Lower	Minimal	2/22/2013	X
10/30/2014	NP15-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$45,000	SA	SPP2013012842	CIP-004-1	R4	Lower	Minimal	2/5/2013	X
10/30/2014	NP15-6-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$106,000	SA	TRE2012011180	CIP-007-2a	R9	Lower	Minimal	1/18/2013	X
10/30/2014	NP15-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$45,000	SA	SPP2013012356	CIP-004-3	R4	Lower	Minimal	1/9/2013	X
10/30/2014	NP15-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$45,000	SA	SPP2013012533	CIP-006-2a	R6	Lower	Minimal	12/4/2012	X
10/30/2014	NP15-6-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$106,000	SA	TRE2012010877	CIP-007-1	R4	Medium	Minimal	11/19/2012	X
10/30/2014	NP15-6-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$106,000	SA	TRE2012011178	CIP-007-1	R1; R1.1; R1.2; R1.3	Medium	Moderate	10/10/2012	X
9/30/2014	NP14-50-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$28,000	SNOP	TRE2013012540	CIP-007-1	R5	Medium	Moderate	12/31/2014 (approved completion date)	X
9/30/2014	NP14-50-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	WECC2013013150	CIP-005-1	R2; R2.2	Medium	Moderate	6/26/2014	X
9/30/2014	NP14-50-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2014013393	CIP-006-3c	R1; R1.1	Medium	Minimal	6/18/2014	X
9/30/2014	NP14-50-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$5,000	SNOP	SERC2014013637	CIP-007-3a	R2; R2.2	Medium	Minimal	3/28/2014	X
9/30/2014	NP14-50-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2013012977	CIP-005-3a	R1; R1.6	Lower	Minimal	2/28/2014	X
9/30/2014	NP14-50-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$5,000	SNOP	SERC2013012783	CIP-005-3	R2; R2.2	Medium	Moderate	11/18/2013	X
9/30/2014	NP14-50-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$5,000	SNOP	SERC2013012782	CIP-005-3	R1; R1.4	Medium	Minimal	10/17/2013	X
9/30/2014	NP14-50-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	WECC2013012311	CIP-002-3	R1	Medium	Minimal	9/5/2013	X
9/30/2014	NP14-50-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$5,000	SNOP	SERC2013012784	CIP-006-3c	R1; R1.1	Medium	Minimal	7/24/2013	X
9/30/2014	NP14-50-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	WECC2012011326	CIP-004-1	R3	Medium	Minimal	10/19/2012	X
8/27/2014	NP14-48-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	NPCC2014013546	CIP-007-1	R1	Medium	Minimal	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC201100894	CIP-007-1	R1	Medium	Minimal	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC201100901	CIP-007-1	R1	Medium	Minimal	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC201100908	CIP-007-1	R1	Medium	Minimal	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	NPCC2014013545	CIP-007-1	R2	Medium	Moderate	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC201100895	CIP-007-1	R2	Medium	Moderate	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC201100902	CIP-007-1	R2	Medium	Moderate	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC201100909	CIP-007-1	R2	Medium	Moderate	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	NPCC2014013544	CIP-007-1	R3	Lower	Moderate	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010081	CIP-007-1	R3	Lower	Moderate	7/14/2014 (approved completion date)	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$) (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.)	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010088	CIP-007-1	R3	Lower	Moderate	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010095	CIP-007-1	R3	Lower	Moderate	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010082	CIP-007-1	R4	Medium	Moderate	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010089	CIP-007-1	R4	Medium	Moderate	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010096	CIP-007-1	R4	Medium	Moderate	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	NPCC2014013537	CIP-007-1	R5	Lower	Moderate	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010083	CIP-007-1	R5	Lower	Moderate	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010090	CIP-007-1	R5	Lower	Moderate	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010097	CIP-007-1	R5	Lower	Moderate	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	NPCC2014013543	CIP-007-1	R6	Lower	Moderate	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010084	CIP-007-1	R6	Lower	Moderate	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010091	CIP-007-1	R6	Lower	Moderate	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010098	CIP-007-1	R6	Lower	Moderate	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	NPCC2014013542	CIP-007-1	R7	Lower	Moderate	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010921	CIP-007-1	R7	Lower	Moderate	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010925	CIP-007-1	R7	Lower	Moderate	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2013011968	CIP-007-1	R7	Lower	Moderate	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	NPCC2014013540	CIP-007-1	R8	Lower	Moderate	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010085	CIP-007-1	R8	Lower	Moderate	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010092	CIP-007-1	R8	Lower	Moderate	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010099	CIP-007-1	R8	Lower	Moderate	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	NPCC2014013539	CIP-007-1	R9	Lower	Minimal	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010301	CIP-007-1	R9	Lower	Minimal	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010313	CIP-007-1	R9	Lower	Minimal	7/14/2014 (approved completion date)	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010317	CIP-007-1	R9	Lower	Minimal	7/14/2014 (approved completion date)	X
8/27/2014	NP14-49-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$22,000	SNOP	WECC2013013248	CIP-005-3a	R2; R2.4	Medium	Moderate	11/19/2014 (approved completion date)	X
8/27/2014	NP14-48-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	NPCC2014013535	CIP-006-2	R2; R2.2	Medium	Moderate	12/15/2014	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2014013703	CIP-006-2	R2; R2.2	Medium	Moderate	12/15/2014	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2014013708	CIP-006-2	R2; R2.2	Medium	Moderate	12/15/2014	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2014013709	CIP-006-2	R2; R2.2	Medium	Moderate	12/15/2014	X
8/27/2014	NP14-48-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	NPCC2014013440	CIP-005-1	R1	Medium	Moderate	12/1/2014	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010305	CIP-005-1	R1	Medium	Moderate	12/1/2014	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010924	CIP-005-1	R1	Medium	Moderate	12/1/2014	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2013011967	CIP-005-1	R1	Medium	Moderate	12/1/2014	X
8/27/2014	NP14-48-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	NPCC2014013551	CIP-005-1	R2	Medium	Moderate	12/1/2014	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC201100890	CIP-005-1	R2	Medium	Moderate	12/1/2014	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC201100897	CIP-005-1	R2	Medium	Moderate	12/1/2014	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC201100904	CIP-005-1	R2	Medium	Moderate	12/1/2014	X
8/27/2014	NP14-48-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	NPCC2014013548	CIP-005-1	R3	Medium	Moderate	12/1/2014	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC201100891	CIP-005-1	R3	Medium	Moderate	12/1/2014	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC201100898	CIP-005-1	R3	Medium	Moderate	12/1/2014	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC201100905	CIP-005-1	R3	Medium	Moderate	12/1/2014	X
8/27/2014	NP14-48-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	NPCC2014013541	CIP-005-1	R4	Medium	Moderate	12/1/2014	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010297	CIP-005-1	R4	Medium	Moderate	12/1/2014	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010311	CIP-005-1	R4	Medium	Moderate	12/1/2014	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$ (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.))	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010314	CIP-005-1	R4	Medium	Moderate	12/1/2014	X
8/27/2014	NP14-48-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	NPC2014013534	CIP-005-1	R5	Lower	Minimal	12/1/2014	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010298	CIP-005-1	R5	Lower	Minimal	12/1/2014	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010310	CIP-005-1	R5	Lower	Minimal	12/1/2014	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010315	CIP-005-1	R5	Lower	Minimal	12/1/2014	X
8/27/2014	NP14-49-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	MRO2012011297	CIP-007-1	R5; R5.1.2; R5.1.3; R5.2.3; R5.3	Lower	Moderate	9/19/2014	X
8/27/2014	NP14-49-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	SERC2014013391	CIP-007-3a	R3	Lower	Moderate	6/30/2014	X
8/27/2014	NP14-49-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	MRO2012011301	CIP-005-1	R1; R1.5; R1.6	Medium	Moderate	6/5/2014	X
8/27/2014	NP14-49-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	SERC2014013389	CIP-005-3a	R3; R3.2	Medium	Moderate	5/30/2014	X
8/27/2014	NP14-49-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	SERC2014013390	CIP-007-3a	R6	Medium	Moderate	5/30/2014	X
8/27/2014	NP14-49-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$22,000	SNOP	WECC2013013153	CIP-006-3c	R2	Medium	Minimal	5/7/2014	X
8/27/2014	NP14-49-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	SERC2014013388	CIP-007-3a	R5; R5.3.3	Medium	Minimal	4/16/2014	X
8/27/2014	NP14-48-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	NPC2014013550	CIP-004-1	R3	Medium	Minimal	3/5/2014	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010303	CIP-004-1	R3	Medium	Minimal	3/5/2014	X
8/27/2014	NP14-48-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	NPC2014013549	CIP-004-1	R4	Lower	Minimal	3/5/2014	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010087	CIP-004-1	R4	Lower	Minimal	3/5/2014	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012011364	CIP-004-3a	R3	Medium	Minimal	2/3/2014	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2014013316	CIP-004-3a	R3	Medium	Minimal	1/30/2014	X
8/27/2014	NP14-49-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	MRO2012011295	CIP-007-1	R1; R1.1; R1.3	Medium	Moderate	1/15/2014	X
8/27/2014	NP14-49-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	MRO2012011292	CIP-003-1	R5; R5.2	Lower	Minimal	12/17/2013	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010927	CIP-009-1	R1	Medium	Moderate	12/16/2013	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2013011971	CIP-009-1	R1	Medium	Moderate	12/16/2013	X
8/27/2014	NP14-49-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	MRO2012011293	CIP-003-3	R6	Lower	Moderate	12/11/2013	X
8/27/2014	NP14-49-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	MRO2012011298	CIP-007-3a	R3; R3.2	Lower	Minimal	12/11/2013	X
8/27/2014	NP14-48-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	NPC2014013556	CIP-003-1	R1; R1.3	Lower	Minimal	12/9/2013	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2013011925	CIP-003-1	R1; R1.3	Lower	Minimal	12/9/2013	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2014013690	CIP-003-1	R1; R1.3	Lower	Minimal	12/9/2013	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2014013691	CIP-003-1	R1; R1.3	Lower	Minimal	12/9/2013	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010079	CIP-003-1	R4	Medium	Moderate	12/9/2013	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010086	CIP-003-1	R4	Medium	Moderate	12/9/2013	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010093	CIP-003-1	R4	Medium	Moderate	12/9/2013	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC201100889	CIP-003-1	R5	Lower	Moderate	12/9/2013	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC201100896	CIP-003-1	R5	Lower	Moderate	12/9/2013	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC201100903	CIP-003-1	R5	Lower	Moderate	12/9/2013	X
8/27/2014	NP14-48-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	NPC2014013554	CIP-003-1	R6	Lower	Moderate	12/9/2013	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010302	CIP-003-1	R6	Lower	Moderate	12/9/2013	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2013011966	CIP-003-1	R6	Lower	Moderate	12/9/2013	X
8/27/2014	NP14-48-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	NPC2014013538	CIP-008-1	R1	Lower	Minimal	12/9/2013	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010907	CIP-008-1	R1	Lower	Minimal	12/9/2013	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010926	CIP-008-1	R1	Lower	Minimal	12/9/2013	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2013011970	CIP-008-1	R1	Lower	Minimal	12/9/2013	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010094	CIP-004-1	R4	Lower	Minimal	11/11/2013	X
8/27/2014	NP14-48-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	NPC2014013547	CIP-009-1	R1	Medium	Moderate	11/11/2013	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010908	CIP-009-1	R1	Medium	Moderate	11/11/2013	X
8/27/2014	NP14-49-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	WECC2012010880	CIP-007-1	R3	Lower	Minimal	10/16/2013	X
8/27/2014	NP14-49-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	WECC2012009818	CIP-005-1	R1	Medium	Moderate	10/10/2013	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010080	CIP-004-1	R4	Lower	Minimal	10/9/2013	X
8/27/2014	NP14-49-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	MRO2012011296	CIP-007-1	R2	Medium	Minimal	10/7/2013	X
8/27/2014	NP14-49-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	WECC2013012041	CIP-005-3a	R3	Medium	Moderate	9/30/2013	X
8/27/2014	NP14-49-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	MRO2012011302	CIP-005-1	R4; R4.2; R4.3; R4.4	Medium	Minimal	9/27/2013	X
8/27/2014	NP14-49-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	MRO2012011299	CIP-007-1	R8; R8.3; R8.4	Lower	Minimal	9/27/2013	X
8/27/2014	NP14-49-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	MRO2012011300	CIP-006-1	R1; R1.8	Medium	Minimal	9/19/2013	X
8/27/2014	NP14-48-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	NPC2014013553	CIP-002-1	R4	Lower	Minimal	8/1/2013	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010912	CIP-002-1	R4	Lower	Minimal	8/1/2013	X
8/27/2014	NP14-49-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	MRO2012011040	CIP-006-3a	R2	Medium	Minimal	7/30/2013	X
8/27/2014	NP14-49-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	WECC2013011897	CIP-005-1	R5	Lower	Minimal	7/16/2013	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010910	CIP-002-1	R2	High	Minimal	4/30/2013	X
8/27/2014	NP14-49-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	MRO2012011035	CIP-005-2	R1; R1.5	Medium	Moderate	3/5/2013	X
8/27/2014	NP14-49-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	WECC2013011896	CIP-005-3a	R4	Medium	Minimal	1/24/2013	X
8/27/2014	NP14-48-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	NPC2014013536	CIP-006-3c	R1	Medium	Moderate	12/31/2012	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC201100899	CIP-006-3c	R1	Medium	Moderate	12/31/2012	X

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8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC201100900	CIP-006-3c	R6	Lower	Moderate	12/31/2012	X
8/27/2014	NP14-49-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	WECC2012010700	CIP-005-1	R2	Medium	Minimal	10/26/2012	X
8/27/2014	NP14-48-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	NPCC2014013552	CIP-002-1	R3	High	Moderate	10/24/2012	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC2012010911	CIP-002-1	R3	High	Moderate	10/24/2012	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC201100892	CIP-006-3c	R1	Medium	Moderate	9/30/2012	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC201100893	CIP-006-3c	R6	Lower	Moderate	9/30/2012	X
8/27/2014	NP14-49-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	WECC2013012103	CIP-005-3a	R5; R5.2	Lower	Minimal	9/27/2012	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC201100906	CIP-006-3c	R1	Medium	Moderate	8/27/2012	X
8/27/2014	NP14-48-000	RF	Unidentified Registered Entity	NCRXXXXX	\$625,000	SA	RFC201100907	CIP-006-3c	R6	Lower	Moderate	8/27/2012	X
7/31/2014	NP14-47-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2013011747	CIP-005-1	R2; R2.4	Medium	Moderate	6/9/2015 (approved completion date)	X
7/31/2014	NP14-45-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	WECC2013012378	CIP-005-1	R1; R1.5	Medium	Moderate	12/19/2014 (approved completion date)	X
7/31/2014	NP14-45-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	WECC2013012379	CIP-005-1	R2; R2.4; R2.5	Medium	Moderate	12/19/2014 (approved completion date)	X
7/31/2014	NP14-45-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	WECC2013012437	CIP-006-1	R1; R1.8	Medium	Minimal	12/19/2014 (approved completion date)	X
7/31/2014	NP14-45-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	WECC2013011811	CIP-007-1	R5; R5.2.3	Medium	Minimal	12/19/2014 (approved completion date)	X
7/31/2014	NP14-47-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$35,000	SNOP	WECC2013012020	CIP-006-3c	R2; R2.2	Medium	Moderate	12/1/2014 (approved completion date)	X
7/31/2014	NP14-47-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$68,000	SNOP	SPP2013013040	CIP-005-3	R3; R3.2	Medium	Minimal	10/22/2014 (approved completion date)	X
7/31/2014	NP14-47-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$68,000	SNOP	SPP2013013042	CIP-005-3a	R2; R2.2; R2.4	Medium	Minimal	10/22/2014 (approved completion date)	X
7/31/2014	NP14-47-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$68,000	SNOP	SPP2013012524	CIP-007-3a	R3; R3.1	Lower	Minimal	10/22/2014 (approved completion date)	X
7/31/2014	NP14-47-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$20,000	SNOP	WECC2013012539	CIP-005-2	R1; R1.5	Medium	Minimal	10/15/2014 (approved completion date)	X
7/31/2014	NP14-47-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$68,000	SNOP	SPP2013013028	CIP-005-3	R1; R1.5	Medium	Minimal	1/15/2015 (approved completion date)	X
7/31/2014	NP14-47-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$68,000	SNOP	SPP2013013044	CIP-006-1	R1.8	Medium	Minimal	1/15/2015 (approved completion date)	X
7/31/2014	NP14-47-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$68,000	SNOP	SPP2013013048	CIP-007-3	R6	Medium	Minimal	4/25/2014	X
7/31/2014	NP14-47-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$68,000	SNOP	SPP2013012526	CIP-007-3	R5; R5.1.2; R5.2.3; R5.3.1; R5.3.2; R5.3.3	Lower	Minimal	4/25/2014	X
7/31/2014	NP14-47-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2013012418	CIP-006-1	R1; R1.8	Medium	Moderate	4/22/2014	X
7/31/2014	NP14-47-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2014013345	CIP-006-3c	R1	Medium	Minimal	1/7/2014	X
7/31/2014	NP14-45-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	WECC2013012380	CIP-007-3a	R8	Lower	Minimal	12/20/2013	X
7/31/2014	NP14-47-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$68,000	SNOP	SPP2013013045	CIP-007-1	R1; R1.1; R1.3	Medium	Minimal	11/15/2013	X
7/31/2014	NP14-47-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	SERC2013013041	CIP-006-3c	R4	Medium	Minimal	11/15/2013	X
7/31/2014	NP14-45-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	WECC2013012381	CIP-007-1	R2	Medium	Moderate	10/7/2013	X
7/31/2014	NP14-47-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$20,000	SNOP	WECC2013012740	CIP-005-3a	R4; R4.2	Medium	Minimal	9/30/2013	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCRXXXXX	\$50,000	SA	RFC2012011077	CIP-007-3a	R5; R5.3.3	Medium	Minimal	9/16/2013	X
7/31/2014	NP14-47-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$20,000	SNOP	WECC2013012739	CIP-005-3a	R2; R2.2	Medium	Minimal	9/5/2013	X
7/31/2014	NP14-47-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$20,000	SNOP	WECC2013012255	CIP-006-1	R1; R1.8	Medium	Minimal	7/9/2013	X
7/31/2014	NP14-47-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2013011748	CIP-007-3a	R1; R1.1	Medium	Moderate	5/8/2013	X
7/31/2014	NP14-47-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	TRE2013012930	CIP-003-3	R6	Lower	Moderate	4/11/2013	X
7/31/2014	NP14-47-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	TRE2014013577	CIP-006-3c	R1; R1.7	Medium	Minimal	4/11/2013	X
7/31/2014	NP14-47-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	TRE2014013578	CIP-005-3a	R5; R5.2	Lower	Minimal	4/11/2013	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCRXXXXX	\$50,000	SA	RFC2012011273	CIP-005-3a	R3; R3.2	Medium	Minimal	4/1/2013	X
7/31/2014	NP14-45-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$180,000	SA	WECC2013012390	CIP-004-1	R3	Medium	Moderate	3/8/2013	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCRXXXXX	\$50,000	SA	RFC2012011078	CIP-005-1	R5; R5.2	Lower	Minimal	2/26/2013	X
7/31/2014	NP14-47-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2013011724	CIP-007-1	R4	Medium	Moderate	1/31/2013	X
7/31/2014	NP14-47-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2013011720	CIP-005-3	R4	Medium	Moderate	12/31/2012	X
7/31/2014	NP14-47-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2013011718	CIP-007-3a	R8	Medium	Moderate	12/31/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCRXXXXX	\$50,000	SA	RFC2012011272	CIP-005-3a	R1; R1.5	Medium	Moderate	10/5/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCRXXXXX	\$50,000	SA	RFC2012011061	CIP-005-3	R2; R2.1; R2.2	Medium	Minimal	8/15/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCRXXXXX	\$50,000	SA	RFC2012011067	CIP-005-3	R2; R2.1; R2.2	Medium	Minimal	8/15/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCRXXXXX	\$50,000	SA	RFC2012011123	CIP-005-3	R2; R2.1; R2.2	Medium	Minimal	8/15/2012	X

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7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012011071	CIP-005-3	R2; R2.1; R2.2	Medium	Minimal	8/15/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012011444	CIP-003-2	R6	Lower	Minimal	8/14/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012011063	CIP-007-1	R1; R1.3	Lower	Minimal	8/14/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012011069	CIP-007-1	R1; R1.3	Lower	Minimal	8/14/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012011073	CIP-007-1	R1; R1.3	Lower	Minimal	8/14/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012011099	CIP-007-1	R1; R1.3	Lower	Minimal	8/14/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012011101	CIP-007-1	R5	Lower	Minimal	8/14/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012011064	CIP-007-1	R5	Lower	Minimal	8/14/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012011074	CIP-007-1	R5	Lower	Minimal	8/14/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012011066	CIP-007-1	R5	Lower	Minimal	8/14/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012011102	CIP-007-1	R6	Lower	Minimal	8/14/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012011065	CIP-007-1	R6	Lower	Minimal	8/14/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012011070	CIP-007-1	R6	Lower	Minimal	8/14/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012011075	CIP-007-1	R6	Lower	Minimal	8/14/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012011076	CIP-007-3a	R7; R7.3	Lower	Minimal	8/14/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012011265	CIP-009-1	R1	Medium	Minimal	8/14/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012011268	CIP-009-1	R1	Medium	Minimal	8/14/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012011270	CIP-009-1	R1	Medium	Minimal	8/14/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012011062	CIP-005-1	R5; R5.2	Lower	Minimal	7/30/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012011068	CIP-005-1	R5; R5.2	Lower	Minimal	7/30/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012011072	CIP-005-1	R5; R5.2	Lower	Minimal	7/30/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012010385	CIP-004-3	R4; R4.2	Lower	Minimal	6/4/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012011443	CIP-004-3	R4; R4.2	Lower	Minimal	6/4/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012010389	CIP-007-3a	R1; R1.1	Medium	Minimal	3/6/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012010386	CIP-007-1	R5; R5.3.3	Lower	Minimal	1/26/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012010387	CIP-007-1	R6	Lower	Moderate	1/26/2012	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012011471	CIP-004-1	R2; R2.1; R2.3	Lower	Minimal	5/6/2011	X
7/31/2014	NP14-46-000	RF	Unidentified Registered Entities	NCXXXXXX	\$50,000	SA	RFC2012010995	CIP-004-1	R2; R2.1; R2.3	Lower	Minimal	5/6/2011	X
6/26/2014	NP14-44-000	FRCC	Unidentified Registered Entity	NCXXXXXX	\$56,000	SNOP	FRCC2013013036	CIP-007-1	R2;R2.2	Medium	Moderate	7/31/2014 (approved completion date)	X
6/26/2014	NP14-44-000	Texas RE	Unidentified Registered Entity	NCXXXXXX	\$40,000	SNOP	TRE2013012873	CIP-003-1	R5;R5.2;	Lower	Moderate	5/13/2013	X
6/26/2014	NP14-44-000	FRCC	Unidentified Registered Entity	NCXXXXXX	\$56,000	SNOP	FRCC2013013038	CIP-009-1	R5	Lower	Moderate	10/17/2014 (approved completion date)	X
6/26/2014	NP14-44-000	FRCC	Unidentified Registered Entity	NCXXXXXX	\$56,000	SNOP	FRCC2013013037	CIP-007-1	R3;R3.1;R3.2	Lower	Moderate	4/30/2014	X
6/26/2014	NP14-44-000	FRCC	Unidentified Registered Entity	NCXXXXXX	\$56,000	SNOP	FRCC2013013034	CIP-005-3a	R4;R4.4	Medium	Minimal	3/26/2014	X
6/26/2014	NP14-44-000	SERC	Unidentified Registered Entity	NCXXXXXX	\$0	SNOP	SERC2013013176	CIP-005-1	R4;R4.2;R4.3; R4.4;R4.5	Medium	Moderate	3/21/2014	X
6/26/2014	NP14-44-000	WECC	Unidentified Registered Entity	NCXXXXXX	\$24,000	SNOP	WECC2013013238	CIP-003-1	R5	Lower	Minimal	3/17/2014	X
6/26/2014	NP14-44-000	FRCC	Unidentified Registered Entity	NCXXXXXX	\$56,000	SNOP	FRCC2013012774	CIP-007-1	R5;R5.2;R5.2.1	Medium	Minimal	1/7/2014	X
6/26/2014	NP14-44-000	Texas RE	Unidentified Registered Entity	NCXXXXXX	\$0	SNOP	TRE2013011886	CIP-006-3c	R1;R1.6	Medium	Minimal	8/12/2013	X
6/26/2014	NP14-44-000	Texas RE	Unidentified Registered Entity	NCXXXXXX	\$40,000	SNOP	TRE2013013281	CIP-004-3a	R2	Lower	Minimal	5/13/2013	X
6/26/2014	NP14-44-000	Texas RE	Unidentified Registered Entity	NCXXXXXX	\$40,000	SNOP	TRE2013012874	CIP-004-1	R4	Lower	Minimal	5/13/2013	X
6/26/2014	NP14-44-000	Texas RE	Unidentified Registered Entity	NCXXXXXX	\$40,000	SNOP	TRE2013013148	CIP-005-3a	R3	Medium	Moderate	5/13/2013	X
6/26/2014	NP14-44-000	Texas RE	Unidentified Registered Entity	NCXXXXXX	\$40,000	SNOP	TRE2013013098	CIP-005-3a	R4;R4.3	Medium	Minimal	5/13/2013	X
6/26/2014	NP14-44-000	Texas RE	Unidentified Registered Entity	NCXXXXXX	\$40,000	SNOP	TRE2013012875	CIP-007-1	R1;R1.1	Medium	Moderate	5/13/2013	X
6/26/2014	NP14-44-000	Texas RE	Unidentified Registered Entity	NCXXXXXX	\$40,000	SNOP	TRE2013013099	CIP-007-1	R8	Medium	Moderate	5/13/2013	X
5/29/2014	NP14-42-000	SERC	Unidentified Registered Entity	NCXXXXXX	\$250,000	SA	SERC201000736	CIP-007-1	R4:4.2	Medium	Minimal	6/30/2015 (approved completion date)	X
5/29/2014	NP14-42-000	SERC	Unidentified Registered Entity	NCXXXXXX	\$250,000	SA	SERC201000735	CIP-007-1	R3	Lower	Moderate	6/30/2014 (approved completion date)	X
5/29/2014	NP14-42-000	SERC	Unidentified Registered Entity	NCXXXXXX	\$250,000	SA	SERC201000729	CIP-005-1	R1:1.5	Medium	Moderate	4/1/2016 (approved completion date)	X
5/29/2014	NP14-42-000	SERC	Unidentified Registered Entity	NCXXXXXX	\$250,000	SA	SERC2012011010	CIP-005-1	R1	Medium	Minimal	4/1/2016 (approved completion date)	X
5/29/2014	NP14-42-000	SERC	Unidentified Registered Entity	NCXXXXXX	\$250,000	SA	SERC201000733	CIP-006-2	R3	Medium	Moderate	3/30/2016 (approved completion date)	X
5/29/2014	NP14-41-000	WECC	Unidentified Registered Entity	NCXXXXXX	\$98,500	NOCV	WECC2013012598	CIP-007-1	R6	Medium	Moderate	10/28/2014 (approved completion date)	X
5/29/2014	NP14-42-000	SERC	Unidentified Registered Entity	NCXXXXXX	\$250,000	SA	SERC2012011013	CIP-007-3a	R8	Lower	Minimal	3/18/2014	X
5/29/2014	NP14-42-000	SERC	Unidentified Registered Entity	NCXXXXXX	\$250,000	SA	SERC201000678	CIP-007-1	R1	Medium	Serious	2/28/2014	X
5/29/2014	NP14-42-000	SERC	Unidentified Registered Entity	NCXXXXXX	\$250,000	SA	SERC201000682	CIP-006-1	R1.1	Medium	Minimal	1/31/2014	X
5/29/2014	NP14-42-000	SERC	Unidentified Registered Entity	NCXXXXXX	\$250,000	SA	SERC2012010860	CIP-006-1	R1:1.8	Medium	Moderate	10/31/2013	X
5/29/2014	NP14-42-000	SERC	Unidentified Registered Entity	NCXXXXXX	\$250,000	SA	SERC201000567	CIP-007-1	R6	Medium	Moderate	10/18/2013	X

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5/29/2014	NP14-43-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$12,000	SA	WECC2013013128	CIP-006-3c	R1; R1.6.2	Medium	Minimal	10/10/2013	X
5/29/2014	NP14-42-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC201000730	CIP-005-1	R2.2.2	Medium	Moderate	9/9/2013	X
5/29/2014	NP14-42-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC2012011011	CIP-005-1	R3.3.2	Medium	Minimal	9/9/2013	X
5/29/2014	NP14-42-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC2013012360	CIP-006-3c	R1.1.6.1	Medium	Minimal	7/9/2013	X
5/29/2014	NP14-42-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC2012010883	CIP-007-3a	R3	Lower	Minimal	6/13/2013	X
5/29/2014	NP14-41-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$98,500	NOCV	WECC2013012597	CIP-007-1	R5; R5.1.2	Lower	Moderate	3/15/2013	X
5/29/2014	NP14-42-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC201000569	CIP-004-1	R4	Medium	Minimal	3/13/2013	X
5/29/2014	NP14-42-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC2012010884	CIP-004-3	R4	Lower	Minimal	2/28/2013	X
5/29/2014	NP14-42-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC2012010586	CIP-006-1	R1	Medium	Moderate	12/31/2012	X
5/29/2014	NP14-42-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC201000570	CIP-007-1	R5	Medium	Moderate	9/28/2012	X
5/29/2014	NP14-42-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC2012010585	CIP-006-1	R4	Medium	Moderate	8/10/2012	X
5/29/2014	NP14-42-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC201000734	CIP-007-1	R2	Medium	Serious	7/31/2012	X
5/29/2014	NP14-42-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC201000731	CIP-006-1	R1	Medium	Moderate	3/9/2012	X
5/29/2014	NP14-42-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC201000683	CIP-006-3a	R4	Medium	Moderate	1/31/2012	X
5/29/2014	NP14-42-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC2012009109	CIP-006-3c	R6	Lower	Minimal	12/31/2011	X
5/29/2014	NP14-42-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC201000568	CIP-004-1	R3	Medium	Minimal	1/20/2011	X
5/29/2014	NP14-42-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC201000679	CIP-006-2	R3	Medium	Minimal	12/5/2010	X
5/29/2014	NP14-42-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC201000685	CIP-002-2	R2	High	Minimal	12/1/2010	X
5/29/2014	NP14-42-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC201000566	CIP-007-1	R4	Medium	Minimal	11/30/2010	X
4/30/2014	NP14-40-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$10,000	SA	SPP2012009925	CIP-005-1	R1; R1.4; R1.5; R1.6	Medium	Moderate	TBD	X
4/30/2014	NP14-40-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$10,000	SA	SPP2012009926	CIP-005-1	R2; R2.1; R2.2; R2.4; R2.5.3	Medium	Moderate	TBD	X
4/30/2014	NP14-40-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$10,000	SA	SPP2012009930	CIP-006-1	R1.8	Medium	Moderate	TBD	X
4/30/2014	NP14-39-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$155,000	SA	WECC2012010439	CIP-007-3a	R2	Medium	Moderate	9/30/2013 (approved completion date)	X
4/30/2014	NP14-40-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$20,000	SA	FRCC2013012564	CIP-003-3	R6	Lower	Moderate	9/12/2014 (approved completion date)	X
4/30/2014	NP14-39-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$155,000	SA	WECC2012010739	CIP-005-1	R1; R1.1; R1.5; R1.6	Medium	Moderate	7/1/2014 (approved completion date)	X
4/30/2014	NP14-40-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$25,000	SA	TRE2013011837	CIP-002-1	R1; R1.1; R1.2	Medium	Moderate	1/27/2014	X
4/30/2014	NP14-40-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$25,000	SA	TRE2013011838	CIP-002-1	R2	High	Moderate	1/27/2014	X
4/30/2014	NP14-40-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$25,000	SA	TRE2013011839	CIP-002-1	R3	High	Moderate	1/27/2014	X
4/30/2014	NP14-40-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$25,000	SA	TRE2013012901	CIP-002-3	R1; R1.1; R1.2	Medium	Moderate	1/27/2014	X
4/30/2014	NP14-40-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$25,000	SA	TRE2013012902	CIP-002-3	R2	High	Moderate	1/27/2014	X
4/30/2014	NP14-40-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$25,000	SA	TRE2013012903	CIP-002-3	R3	High	Moderate	1/27/2014	X
4/30/2014	NP14-40-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$19,000	SA	SPP2013012347	CIP-005-3a	R4; R4.2; R4.5	Medium	Moderate	11/21/2013	X
4/30/2014	NP14-40-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$19,000	SA	SPP2013012349	CIP-007-3a	R8; R8.2; R8.4	Medium	Moderate	11/21/2013	X
4/30/2014	NP14-40-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$20,000	SA	FRCC2013012546	CIP-004-3	R4; R4.1; R4.2	Lower	Moderate	11/13/2013	X
4/30/2014	NP14-40-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$20,000	SA	FRCC2012011635	CIP-007-3a	R4; R4.2	Medium	Minimal	9/9/2013	X
4/30/2014	NP14-39-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$155,000	SA	WECC2012011032	CIP-007-3a	R5; R5.2.3; R5.3.3	Medium	Moderate	8/30/2013	X
4/30/2014	NP14-40-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$19,000	SA	SPP2013012345	CIP-004-3	R4; R4.1	Lower	Minimal	8/30/2013	X
4/30/2014	NP14-40-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$19,000	SA	SPP2013012348	CIP-006-3c	R1; R1.6.1; R1.6.2	Medium	Moderate	8/12/2013	X
4/30/2014	NP14-39-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$155,000	SA	WECC2012011031	CIP-007-1	R3	Lower	Moderate	8/6/2013	X
4/30/2014	NP14-40-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$19,000	SA	SPP2013012351	CIP-007-3a	R3; R3.1; R3.2	Lower	Minimal	8/2/2013	X
4/30/2014	NP14-40-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$19,000	SA	SPP2013012354	CIP-006-1	R1; R1.8	Medium	Moderate	7/26/2013	X
4/30/2014	NP14-40-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$0	NOCV	NPCC2012011038	CIP-005-3a	R1; R1.5	Medium	Moderate	7/11/2013	X
4/30/2014	NP14-40-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$0	NOCV	NPCC2012011037	CIP-006-3a	R2; R2.2	Medium	Moderate	6/20/2013	X
4/30/2014	NP14-40-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$5,000	NOCV	MRO2013011715	CIP-006-3a	R2	Medium	Minimal	4/5/2013	X
4/30/2014	NP14-40-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$5,000	NOCV	MRO2013011781	CIP-006-1	R1; R1.8	Medium	Minimal	4/5/2013	X
4/30/2014	NP14-39-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$155,000	SA	WECC2012011034	CIP-007-1	R6	Lower	Moderate	2/11/2013	X
4/30/2014	NP14-39-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$155,000	SA	WECC2012011029	CIP-007-1	R1	Medium	Moderate	12/1/2012	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$ (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.))	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
4/30/2014	NP14-39-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$155,000	SA	WECC2012011329	CIP-007-2a	R4	Medium	Minimal	10/29/2012	X
4/30/2014	NP14-40-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$20,000	SA	FRCC2012010851	CIP-007-3a	R6; R6.2; R6.4; R6.5	Medium	Moderate	8/31/2012	X
4/30/2014	NP14-39-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$155,000	SA	WECC2012010741	CIP-007-3a	R8	Medium	Minimal	6/28/2012	X
4/30/2014	NP14-39-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$155,000	SA	WECC2012010740	CIP-005-3	R4	Medium	Minimal	12/1/2011	X
3/31/2014	NP14-37-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$465,000	SA	WECC2012011043	CIP-005-3	R1	Medium	Moderate	9/7/2014 (approved completion date)	X
3/31/2014	NP14-37-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$465,000	SA	WECC2012011140	CIP-006-1	R1	Medium	Moderate	3/18/2014	X
3/31/2014	NP14-37-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$465,000	SA	WECC2012011054	CIP-006-1	R3	Medium	Moderate	1/24/2014	X
3/31/2014	NP14-35-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$40,000	SA	WECC2013012332	CIP-007-3a	R7	Lower	Moderate	1/17/2014	X
3/31/2014	NP14-37-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$465,000	SA	WECC2012011042	CIP-002-2	R3	High	Moderate	1/14/2014	X
3/31/2014	NP14-37-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$465,000	SA	WECC2012011053	CIP-006-1	R2	Medium	Minimal	11/29/2013	X
3/31/2014	NP14-37-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$465,000	SA	WECC2012011044	CIP-005-3	R5	Lower	Minimal	11/15/2013	X
3/31/2014	NP14-35-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$20,000	NOCV	MRO2012010539	CIP-006-1	R1; R1.2; R1.8	Medium	Moderate	10/28/2013	X
3/31/2014	NP14-37-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$465,000	SA	WECC2012011058	CIP-007-1	R1	Medium	Moderate	10/1/2013	X
3/31/2014	NP14-35-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$8,000	SA	WECC2013012979	CIP-004-3	R2; R2.3	Lower	Minimal	9/23/2013	X
3/31/2014	NP14-35-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$20,000	NOCV	MRO2012010542	CIP-007-1	R2; R2.1	Medium	Minimal	8/14/2013	X
3/31/2014	NP14-35-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$40,000	SA	WECC2012011543	CIP-006-1	R1.1; R1.8	Medium	Moderate	8/13/2013	X
3/31/2014	NP14-35-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$20,000	NOCV	MRO2012010536	CIP-004-3	R4; R4.1	Lower	Moderate	7/18/2013	X
3/31/2014	NP14-35-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$20,000	NOCV	MRO2012010545	CIP-007-1	R5; R5.1.1; R5.3.2	Lower	Minimal	7/1/2013	X
3/31/2014	NP14-35-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$20,000	NOCV	MRO2012010534	CIP-004-1	R3; R3.1; R3.3	Medium	Minimal	6/28/2013	X
3/31/2014	NP14-37-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$465,000	SA	WECC2012011059	CIP-007-1	R2	Medium	Moderate	6/13/2013	X
3/31/2014	NP14-35-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$20,000	NOCV	MRO2012010541	CIP-006-1	R3	Medium	Moderate	6/12/2013	X
3/31/2014	NP14-35-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SA	WECC2012010275	CIP-005-3	R4; R4.5	Medium	Moderate	3/19/2013	X
3/31/2014	NP14-35-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SA	WECC2012010390	CIP-006-1	R1; R1.8	Medium	Minimal	1/4/2013	X
3/31/2014	NP14-35-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$20,000	NOCV	MRO2012010537	CIP-005-1	R1; R1.5	Medium	Minimal	12/19/2012	X
3/31/2014	NP14-35-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SA	WECC2012010308	CIP-007-3a	R8; R8.2; R8.3; R8.4	Medium	Moderate	11/1/2012	X
3/31/2014	NP14-35-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SA	WECC2012010274	CIP-002-1	R3; R3.2	High	Minimal	9/27/2012	X
3/31/2014	NP14-35-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SA	WECC2012010364	CIP-003-1	R5; R5.1; R5.1.2; R5.2; R5.3	Lower	Minimal	9/21/2012	X
2/27/2014	NP14-34-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$15,000	NOCV	WECC2013012801	CIP-004-3a	R4	Lower	Minimal	1/31/2014	X
2/27/2014	NP14-34-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$86,000	SA	NPCC2013012747	CIP-003-3	R6	Lower	Minimal	12/31/2013	X
2/27/2014	NP14-34-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$86,000	SA	NPCC2012011629	CIP-007-3a	R2; R2.2	Medium	Minimal	12/18/2013	X
2/27/2014	NP14-34-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$86,000	SA	NPCC2013011743	CIP-004-3	R4; R4.2	Lower	Moderate	1/23/2013	X
2/27/2014	NP14-32-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$0	SA	SP2010000414	CIP-002-1	R2	High	Moderate	12/31/2012	X
2/27/2014	NP14-34-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$86,000	SA	NPCC2012011633	CIP-004-3	R3	Medium	Moderate	12/24/2012	X
2/27/2014	NP14-34-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$86,000	SA	NPCC2012010254	CIP-004-3	R3	Medium	Moderate	6/14/2012	X
2/27/2014	NP14-34-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$86,000	SA	NPCC2012010426	CIP-004-3	R3	Medium	Moderate	6/14/2012	X
2/27/2014	NP14-34-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$86,000	SA	NPCC2012010255	CIP-006-3c	R4	Medium	Moderate	5/24/2012	X
2/27/2014	NP14-34-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$86,000	SA	NPCC2012010256	CIP-006-3c	R1; R1.6.2	Medium	Moderate	5/24/2012	X
2/27/2014	NP14-34-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$86,000	SA	NPCC2012009525	CIP-004-3	R4; R4.2	Lower	Moderate	2/10/2012	X
2/27/2014	NP14-34-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$0	SA	TRE2012011160	CIP-007-1	R4; R4.1	Medium	Minimal	11/22/2011	X
1/30/2014	NP14-30-000	RF	Unidentified Registered Entity	NCRXXXXX	\$75,000	SA	RFC2013012708	CIP-005-3a	R3; R3.2	Medium	Moderate	8/1/2015 (approved completion date)	X
1/30/2014	NP14-30-000	RF	Unidentified Registered Entity	NCRXXXXX	\$75,000	SA	RFC2013013118	CIP-007-1	R6; R6.3; R6.4; R6.5	Medium	Moderate	8/1/2015 (approved completion date)	X
1/30/2014	NP14-30-000	RF	Unidentified Registered Entity	NCRXXXXX	\$75,000	SA	RFC2013011942	CIP-007-1	R2	Medium	Moderate	4/30/2014 (approved completion date)	X
1/30/2014	NP14-30-000	RF	Unidentified Registered Entity	NCRXXXXX	\$75,000	SA	RFC2012011453	CIP-007-1	R5; R5.2	Lower	Moderate	3/1/2014 (approved completion date)	X
1/30/2014	NP14-30-000	RF	Unidentified Registered Entity	NCRXXXXX	\$75,000	SA	RFC2013011943	CIP-007-1	R3	Lower	Moderate	1/22/2014	X
1/30/2014	NP14-30-000	RF	Unidentified Registered Entity	NCRXXXXX	\$75,000	SA	RFC2013011941	CIP-005-1	R2; R2.2	Medium	Moderate	1/6/2014	X
1/30/2014	NP14-30-000	RF	Unidentified Registered Entity	NCRXXXXX	\$75,000	SA	RFC2013012114	CIP-007-1	R1; R1.1	Medium	Moderate	1/6/2014	X
1/30/2014	NP14-30-000	RF	Unidentified Registered Entity	NCRXXXXX	\$75,000	SA	RFC2013011945	CIP-007-1	R4; R4.2	Medium	Moderate	12/26/2013	X
1/30/2014	NP14-27-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	WECC2013013114	CIP-005-1	R1; R1.5	Medium	Moderate	12/4/2013	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$) (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.)	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
1/30/2014	NP14-27-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	TRE2012011387	CIP-007-1	R1; R1.1; R1.2	Medium	Moderate	11/15/2013	X
1/30/2014	NP14-29-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$109,000	SA	WECC2012010730	CIP-007-1	R6	Medium	Minimal	11/1/2013	X
1/30/2014	NP14-29-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$109,000	SA	WECC2012010729	CIP-007-1	R3	Lower	Moderate	7/31/2013	X
1/30/2014	NP14-27-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	TRE2012011382	CIP-005-1	R4; R4.2; R4.3; R4.4; R4.5	Medium	Moderate	7/31/2013	X
1/30/2014	NP14-27-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	WECC2013012656	CIP-004-3a	R2; R2.1	Medium	Moderate	7/19/2013	X
1/30/2014	NP14-27-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	WECC2013012657	CIP-004-3a	R3	Medium	Minimal	7/19/2013	X
1/30/2014	NP14-27-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	TRE2012011016	CIP-005-1	R1; R1.5	Medium	Moderate	7/11/2013	X
1/30/2014	NP14-29-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$109,000	SA	WECC2012010728	CIP-007-1	R2	Medium	Minimal	7/10/2013	X
1/30/2014	NP14-30-000	RF	Unidentified Registered Entity	NCRXXXXX	\$75,000	SA	RFC2012011569	CIP-006-1	R2; R2.2	Medium	Moderate	6/28/2013	X
1/30/2014	NP14-30-000	RF	Unidentified Registered Entity	NCRXXXXX	\$75,000	SA	RFC2012011568	CIP-006-1	R1	Medium	Minimal	6/26/2013	X
1/30/2014	NP14-27-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	TRE2012011015	CIP-006-1	R1; R1.8	Medium	Moderate	6/20/2013	X
1/30/2014	NP14-30-000	RF	Unidentified Registered Entity	NCRXXXXX	\$75,000	SA	RFC2012011454	CIP-007-1	R6; R6.3; R6.4; R6.5	Medium	Moderate	5/23/2013	X
1/30/2014	NP14-30-000	RF	Unidentified Registered Entity	NCRXXXXX	\$75,000	SA	RFC2012011452	CIP-005-3	R4	Medium	Moderate	3/28/2013	X
1/30/2014	NP14-30-000	RF	Unidentified Registered Entity	NCRXXXXX	\$75,000	SA	RFC2012011455	CIP-007-3	R8	Lower	Moderate	3/28/2013	X
1/30/2014	NP14-27-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$48,000	SNOP	SERC2012011221	CIP-007-1	R6; R6.1; R6.2; R6.3; R6.4; R6.5	Medium	Minimal	3/28/2013	X
1/30/2014	NP14-27-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$48,000	SNOP	SERC2012011222	CIP-007-1	R5	Medium	Minimal	3/28/2013	X
1/30/2014	NP14-27-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$48,000	SNOP	SERC2012011585	CIP-005-1	R1; R1.5	Medium	Minimal	3/28/2013	X
1/30/2014	NP14-27-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$48,000	SNOP	SERC2012011216	CIP-004-1	R4; R4.1	Lower	Moderate	2/28/2013	X
1/30/2014	NP14-27-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$48,000	SNOP	SERC2012011218	CIP-004-3	R4; R4.2	Medium	Minimal	2/28/2013	X
1/30/2014	NP14-27-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$48,000	SNOP	SERC2012011223	CIP-008-1	R1; R1.1; R1.2	Lower	Minimal	2/15/2013	X
1/30/2014	NP14-27-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$48,000	SNOP	SERC2012011220	CIP-005-1	R4	Medium	Moderate	1/31/2013	X
1/30/2014	NP14-27-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$48,000	SNOP	SERC2012011225	CIP-007-1	R8	Medium	Minimal	1/31/2013	X
1/30/2014	NP14-27-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$48,000	SNOP	SERC2012011440	CIP-006-3c	R6	Lower	Minimal	12/31/2012	X
1/30/2014	NP14-27-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$48,000	SNOP	SERC2012011224	CIP-006-1	R6	Medium	Minimal	10/31/2012	X
1/30/2014	NP14-27-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$48,000	SNOP	SERC2012011226	CIP-006-1	R1.8	Medium	Minimal	10/31/2012	X
1/30/2014	NP14-27-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$48,000	SNOP	SERC2012011219	CIP-006-3c	R4	Medium	Moderate	10/4/2012	X
1/30/2014	NP14-27-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$48,000	SNOP	SERC2012011217	CIP-006-1	R1; R1.4; R1.7	Medium	Minimal	9/27/2012	X
1/30/2014	NP14-29-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$109,000	SA	WECC2012010727	CIP-006-3a	R5	Medium	Moderate	7/13/2012	X
1/30/2014	NP14-27-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$14,000	SNOP	NPCC2012010252	CIP-007-3a	R4; R4.1; R4.2	Medium	Moderate	5/4/2012	X
1/30/2014	NP14-27-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$14,000	SNOP	NPCC2012010253	CIP-007-3a	R4; R4.1	Medium	Minimal	4/27/2012	X
1/30/2014	NP14-29-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$109,000	SA	WECC201102978	CIP-006-1	R1	Medium	Minimal	10/6/2011	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC201000611	CIP-005-1	R2; R2.2	Medium	Serious	3/31/2014 (approved completion date)	X
12/31/2013	NP14-26-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2011007989	CIP-006-1	R1; R1.7; R1.8	Medium	Moderate	3/31/2014 (approved completion date)	X
12/31/2013	NP14-21-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	SERC201000593	CIP-005-1	R2	Medium	Moderate	3/15/2014 (approved completion date)	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC2012011433	CIP-006-1	R3	Medium	Minimal	2/1/2014 (approved completion date)	X
12/31/2013	NP14-26-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2013012236	CIP-007-1	R3	Lower	Serious	12/30/2013 (approved completion date)	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC2012011434	CIP-005-1	R1; R1.1	Medium	Minimal	1/22/2014 (approved completion date)	X
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008739	CIP-005-1	R4; R4.1, R4.2, R4.3, R4.4, R4.5	Medium	Moderate	11/21/2013	X
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008756	CIP-007-1	R8; R8.1, R8.2, R8.4	Lower	Moderate	11/21/2013	X
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008743	CIP-006-1	R1.8	Medium	Moderate	11/21/2013	X
12/31/2013	NP14-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC2013012005	CIP-007-3a	R7	Lower	Minimal	11/9/2013	X
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008757	CIP-007-1	R9	Lower	Minimal	11/8/2013	X
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008738	CIP-005-1	R1	Medium	Moderate	11/6/2013	X
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008759	CIP-008-1	R1.1; R1.3; R1.4; R1.5; R1.6	Lower	Minimal	10/31/2013	X
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008736	CIP-004-1	R4	Lower	Moderate	10/30/2013	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$) (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.)	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008749	CIP-007-1	R2; R2.1, R2.2	Medium	Moderate	10/30/2013	X
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008752	CIP-007-1	R4	Medium	Minimal	10/30/2013	X
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008753	CIP-007-1	R5	Lower	Moderate	10/30/2013	X
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008755	CIP-007-1	R7	Lower	Minimal	10/25/2013	X
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008733	CIP-003-1	R5; R5.1	Lower	Moderate	10/18/2013	X
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008737	CIP-005-1	R2; R2.1; R2.2; R2.4	Medium	Moderate	10/18/2013	X
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008747	CIP-006-1	R6	Medium	Moderate	10/18/2013	X
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008751	CIP-007-1	R3	Lower	Moderate	10/18/2013	X
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008754	CIP-007-1	R6; R6.5	Lower	Moderate	10/18/2013	X
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008761	CIP-009-1	R2	Lower	Minimal	10/18/2013	X
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008748	CIP-007-1	R1; R1.1	Medium	Moderate	10/18/2013	X
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008742	CIP-006-1	R1.1; R1.2; R1.4; R1.6	Medium	Minimal	10/18/2013	X
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008744	CIP-006-1	R2	Medium	Minimal	10/18/2013	X
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008745	CIP-006-1	R3	Medium	Minimal	10/18/2013	X
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008762	CIP-009-1	R4	Lower	Minimal	10/18/2013	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC2013012712	CIP-004-1	R3	Medium	Minimal	10/15/2013	X
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008740	CIP-005-1	R5.1; R5.3	Lower	Minimal	10/11/2013	X
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008735	CIP-004-1	R3; R3.1	Medium	Minimal	10/8/2013	X
12/31/2013	NP14-21-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	SERC2011008513	CIP-006-1	R1; R1.8	Medium	Moderate	9/30/2013	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC2013012710	CIP-006-3c	R1; R1.6	Medium	Moderate	8/12/2013	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC2013012431	CIP-004-3a	R4; R4.1	Lower	Minimal	7/31/2013	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC201000617	CIP-007-1	R2	Medium	Moderate	7/25/2013	X
12/31/2013	NP14-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC2013012006	CIP-006-1	R1; R1.1	Medium	Minimal	7/10/2013	X
12/31/2013	NP14-26-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2011007986	CIP-005-1	R1; R1.1; R1.5	Medium	Moderate	6/28/2013	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC201000576	CIP-004-1	R3	Lower	Minimal	6/20/2013	X
12/31/2013	NP14-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC2013011700	CIP-006-3c	R5	Medium	Moderate	6/12/2013	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC2012011435	CIP-007-1	R4; R4.2	Medium	Minimal	5/29/2013	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC2013012206	CIP-006-3c	R4	Medium	Minimal	5/29/2013	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC2012011008	CIP-006-1	R1; R1.1	Medium	Moderate	5/2/2013	X
12/31/2013	NP14-26-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2013012004	CIP-006-3c	R1; R1.6	Medium	Minimal	4/23/2013	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC2012011437	CIP-007-1	R7; R7.3	Lower	Minimal	3/30/2013	X
12/31/2013	NP14-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC201000621	CIP-007-1	R6	Lower	Minimal	3/28/2013	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC2013011706	CIP-006-3c	R1; R1.6	Medium	Minimal	3/27/2013	X
12/31/2013	NP14-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC2011007999	CIP-006-3c	R6	Lower	Minimal	3/26/2013	X
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008746	CIP-006-1	R4	Medium	Moderate	3/18/2013	X
12/31/2013	NP14-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC2012010000	CIP-007-3a	R4	Medium	Minimal	3/12/2013	X
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008734	CIP-003-1	R6	Lower	Moderate	3/6/2013	X
12/31/2013	NP14-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC2012011336	CIP-005-3a	R1	Medium	Moderate	2/28/2013	X
12/31/2013	NP14-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC2013012272	CIP-005-1	R2	Medium	Moderate	2/12/2013	X
12/31/2013	NP14-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC2011008003	CIP-006-1	R1	Medium	Minimal	1/31/2013	X
12/31/2013	NP14-21-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	SERC2011008316	CIP-005-1	R1	Medium	Moderate	1/31/2013	X
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008760	CIP-009-1	R1	Medium	Minimal	1/31/2013	X
12/31/2013	NP14-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC2011008271	CIP-007-3	R7	Lower	Minimal	1/29/2013	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC2013011699	CIP-006-3c	R1; R1.6	Medium	Minimal	1/22/2013	X
12/31/2013	NP14-26-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2011007429	CIP-005-1	R1; R1.4	Medium	Minimal	1/18/2013	X
12/31/2013	NP14-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC2012011337	CIP-006-3c	R5	Medium	Minimal	1/14/2013	X
12/31/2013	NP14-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC201000623	CIP-007-1	R1	Medium	Moderate	1/10/2013	X
12/31/2013	NP14-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC2011007873	CIP-007-1	R2	Medium	Moderate	1/10/2013	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC2012010717	CIP-004-3	R2; R2.3	Lower	Minimal	1/1/2013	X
12/31/2013	NP14-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC201000505	CIP-004-1	R4	Lower	Minimal	12/15/2012	X
12/31/2013	NP14-21-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	SERC2011008512	CIP-005-1	R4	Medium	Moderate	12/7/2012	X
12/31/2013	NP14-21-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	SERC201000594	CIP-007-1	R6	Lower	Moderate	11/16/2012	X
12/31/2013	NP14-26-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2012011169	CIP-004-3	R2; R2.1	Medium	Minimal	11/5/2012	X
12/31/2013	NP14-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC201000622	CIP-005-1	R3	Medium	Moderate	10/16/2012	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC2012011161	CIP-002-3	R3	High	Moderate	10/10/2012	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC2012011117	CIP-002-3	R3	High	Moderate	10/5/2012	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC2012010998	CIP-006-3c	R4	Medium	Minimal	10/1/2012	X
12/31/2013	NP14-21-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	SERC201000513	CIP-002-1	R3	High	Moderate	9/30/2012	X
12/31/2013	NP14-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC2012010981	CIP-005-3a	R5	Lower	Minimal	9/18/2012	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC20090402	CIP-009-1	R1	Medium	Moderate	9/7/2012	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC2012011007	CIP-006-3c	R4	Medium	Minimal	8/8/2012	X
12/31/2013	NP14-26-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC2012010331	CIP-006-3c	R2; R2.2	Medium	Minimal	7/30/2012	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC2012010953	CIP-006-3c	R5	Medium	Moderate	7/11/2012	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$ (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.))	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC200900394	CIP-002-1	R3	High	Moderate	6/27/2012	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC201000619	CIP-007-1	R6; R6.4	Lower	Moderate	6/20/2012	X
12/31/2013	NP14-26-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC201007985	CIP-004-3	R4	Lower	Moderate	5/30/2012	X
12/31/2013	NP14-21-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	SERC201008516	CIP-007-3a	R1	Medium	Moderate	5/29/2012	X
12/31/2013	NP14-21-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	SERC2012011645	CIP-007-3a	R3; R3.1	Lower	Minimal	5/17/2012	X
12/31/2013	NP14-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC201007982	CIP-002-1	R1	Lower	Serious	4/30/2012	X
12/31/2013	NP14-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC201007983	CIP-002-1	R2	High	Moderate	4/30/2012	X
12/31/2013	NP14-26-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC201007987	CIP-005-1	R2; R2.2	Medium	Moderate	4/18/2012	X
12/31/2013	NP14-21-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	SERC201008511	CIP-005-1	R3	Medium	Moderate	4/11/2012	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC201000609	CIP-002-1	R3	High	Moderate	3/31/2012	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC201000613	CIP-005-1	R5; R5.2	Lower	Moderate	3/31/2012	X
12/31/2013	NP14-23-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$100,000	SA	SPP2011008732	CIP-002-1	R3; R3.2 R3; R3.2	Lower	Moderate	3/16/2012	X
12/31/2013	NP14-25-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$250,000	SA	SERC201200999	CIP-007-1	R5	Lower	Moderate	3/12/2012	X
12/31/2013	NP14-26-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC201007639	CIP-007-1	R5; R5.2	Lower	Moderate	1/25/2012	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC2012010718	CIP-004-3	R4	Lower	Minimal	1/1/2012	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC201000575	CIP-007-1	R3	Lower	Moderate	12/30/2011	X
12/31/2013	NP14-26-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC201007992	CIP-007-1	R8; R8.3	Medium	Minimal	12/29/2011	X
12/31/2013	NP14-26-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC201007993	CIP-007-1	R1	Medium	Minimal	12/29/2011	X
12/31/2013	NP14-26-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC201007988	CIP-005-1	R4; R4.2	Medium	Serious	12/19/2011	X
12/31/2013	NP14-26-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC201007990	CIP-007-1	R2; R2.2	Medium	Minimal	12/16/2011	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC201000573	CIP-007-1	R1	Medium	Moderate	12/6/2011	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC201000614	CIP-006-1	R1; R1.8	Lower	Minimal	11/30/2011	X
12/31/2013	NP14-21-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	SERC201000565	CIP-007-1	R5	Medium	Moderate	11/30/2011	X
12/31/2013	NP14-21-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	SERC201000592	CIP-007-1	R2	Medium	Moderate	11/30/2011	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC201000616	CIP-007-1	R1	Medium	Moderate	11/1/2011	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC201000615	CIP-006-1	R6	Medium	Minimal	10/28/2011	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC201000618	CIP-007-1	R5; R5.3.3	Medium	Moderate	8/3/2011	X
12/31/2013	NP14-26-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC201000586	CIP-007-1	R5; R5.2.1	Medium	Minimal	7/22/2011	X
12/31/2013	NP14-26-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC201000552	CIP-004-1	R4; R4.1	Lower	Minimal	7/18/2011	X
12/31/2013	NP14-26-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC20100776	CIP-004-3	R4; R4.2	Lower	Minimal	5/6/2011	X
12/31/2013	NP14-21-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	SERC2013013123	CIP-004-1	R2; R2.1	Medium	Minimal	3/31/2011	X
12/31/2013	NP14-21-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	SERC2013013146	CIP-004-1	R3	Medium	Minimal	3/31/2011	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC2012010954	CIP-006-2	R2; R2.1	Medium	Moderate	2/16/2011	X
12/31/2013	NP14-21-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	SERC201000564	CIP-004-1	R4	Lower	Minimal	9/8/2010	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC200900599	CIP-007-1	R7	Lower	Moderate	8/31/2010	X
12/31/2013	NP14-21-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	SERC201000595	CIP-006-2	R5	Medium	Minimal	8/27/2010	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC201000612	CIP-005-1	R4; R4.5	Medium	Moderate	8/12/2010	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC201000620	CIP-007-1	R8; R8.4	Medium	Moderate	8/12/2010	X
12/31/2013	NP14-24-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$350,000	SA	SERC200900399	CIP-004-1	R4	Lower	Minimal	6/1/2010	X
12/31/2013	NP14-21-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$175,000	SA	SERC201000447	CIP-006-1	R2	Medium	Moderate	5/30/2010	X
12/31/2013	NP14-26-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC200900284	CIP-004-1	R4	Lower	Minimal	5/27/2010	X
12/31/2013	NP14-26-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$120,000	SA	SERC201000551	CIP-004-1	R2; R2.1	Medium	Minimal	6/4/2009	X
12/30/2013	NP14-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$110,000	SA	SERC201008775	CIP-005-1	R1	Medium	Moderate	7/31/2014 (approved completion date)	X
12/30/2013	NP14-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$110,000	SA	SERC2012010143	CIP-006-1	R1	Lower	Moderate	7/30/2014 (approved completion date)	X
12/30/2013	NP14-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$110,000	SA	SERC2012010344	CIP-007-1	R2	Medium	Minimal	5/14/2014 (approved completion date)	X
12/30/2013	NP14-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$110,000	SA	SERC201007532	CIP-007-1	R5	Lower	Moderate	4/14/2014 (approved completion date)	X
12/30/2013	NP14-19-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$185,000	SA	WECC2012009746	CIP-006-1	R1; R1.8	Medium	Minimal	4/1/2014 (approved completion date)	X
12/30/2013	NP14-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$110,000	SA	SERC2012010343	CIP-006-1	R3	Medium	Moderate	2/20/2014 (approved completion date)	X
12/30/2013	NP14-14-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$74,500	SNOP	SPP2011008255	CIP-007-1	R6	Medium	Moderate	2/13/2014 (approved completion date)	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SNOP	SERC201006610	CIP-007-1	R5; R5.2	Lower	Moderate	12/31/2013 (approved completion date)	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SNOP	SERC201006612	CIP-007-1	R3	Lower	Moderate	12/31/2013 (approved completion date)	X
12/30/2013	NP14-17-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$144,000	SA	WECC2013012052	CIP-005-3a	R2.4	Medium	Minimal	1/10/2014 (approved completion date)	X
12/30/2013	NP14-17-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$144,000	SA	WECC2013012051	CIP-002-1	R3	High	Moderate	12/11/2013	X
12/30/2013	NP14-14-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	SPP2013012178	CIP-006-1	R1, R1.3; R1.4; R1.5; R1.8; R1.9	Medium	Minimal	11/22/2013	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$) (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.)	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
12/30/2013	NP14-14-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$74,500	SNOP	SPP2011008254	CIP-007-1	R5; R5.1; R5.1.1; R5.1.2; R5.1.3; R5.2; R5.2.2; R5.2.3; R5.3.2; R5.3.3	Medium	Moderate	11/13/2013	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SNOP	SERC2011007279	CIP-005-1	R1; R1.5	Medium	Moderate	9/17/2013	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SNOP	SERC2011009005	CIP-006-2	R3	Medium	Moderate	9/17/2013	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SNOP	SERC2011009008	CIP-007-1	R5; R5.2.1	Lower	Moderate	9/17/2013	X
12/30/2013	NP14-14-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$35,000	SNOP	WECC2013012043	CIP-007-3a	R6	Lower	Moderate	9/11/2013	X
12/30/2013	NP14-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	SERC2011006594	CIP-005-1	R1	Medium	Serious	8/30/2013	X
12/30/2013	NP14-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	SERC2011007430	CIP-005-1	R2	Medium	Serious	8/30/2013	X
12/30/2013	NP14-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	SERC2011008279	CIP-005-1	R4	Medium	Moderate	8/30/2013	X
12/30/2013	NP14-14-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$74,500	SNOP	SPP2011008291	CIP-006-1 R1	R1; R1.4; R1.8	Medium	Minimal	8/30/2013	X
12/30/2013	NP14-14-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	MRO2012009748	CIP-005-1	R1; R1.5	Medium	Minimal	8/26/2013	X
12/30/2013	NP14-14-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	MRO2012009752	CIP-007-1	R4; R4.2	Medium	Minimal	8/23/2013	X
12/30/2013	NP14-14-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	MRO2012009749	CIP-005-1	R2; R2.2	Medium	Minimal	8/21/2013	X
12/30/2013	NP14-14-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	MRO2012009751	CIP-006-1	R1; R1.8	Medium	Minimal	8/21/2013	X
12/30/2013	NP14-14-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	MRO2012009753	CIP-007-1	R8; R8.4	Medium	Minimal	8/21/2013	X
12/30/2013	NP14-14-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$74,500	SNOP	SPP2011008249	CIP-005-1	R3.2	Medium	Moderate	7/29/2013	X
12/30/2013	NP14-14-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$74,500	SNOP	SPP2011008247	CIP-005-1	R1; R1.1; R1.4; R1.5; R1.6	Medium	Moderate	7/25/2013	X
12/30/2013	NP14-19-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$185,000	SA	WECC2012009798	CIP-007-1	R9	Lower	Minimal	7/19/2013	X
12/30/2013	NP14-14-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$74,500	SNOP	SPP201100642	CIP-007-1	R1; R1.1; R1.2	Medium	Moderate	7/19/2013	X
12/30/2013	NP14-14-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$74,500	SNOP	SPP201100643	CIP-007-1	R3; R3.1; R3.2	Lower	Moderate	7/1/2013	X
12/30/2013	NP14-14-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$74,500	SNOP	SPP2011008244	CIP-003-1	R5; R5.2; R5.3	Lower	Moderate	7/1/2013	X
12/30/2013	NP14-14-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$74,500	SNOP	SPP2011008248	CIP-005-1	R2; R2.2; R2.5.2; R2.5.3; R2.6	Medium	Moderate	6/17/2013	X
12/30/2013	NP14-14-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	SPP2013012176	CIP-005-1	R2; R2.4	Medium	Minimal	6/14/2013	X
12/30/2013	NP14-14-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	SPP2013012181	CIP-007-3a	R2; R2.1; R2.2	Medium	Minimal	6/14/2013	X
12/30/2013	NP14-14-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	SPP2013012182	CIP-007-3a	R3; R3.2	Lower	Moderate	6/14/2013	X
12/30/2013	NP14-14-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$74,500	SNOP	SPP2011008250	CIP-005-1	R4.3	Medium	Moderate	5/31/2013	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC2013012192	CIP-006-3c	R1; R1.6	Medium	Minimal	5/31/2013	X
12/30/2013	NP14-14-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$74,500	SNOP	SPP2011008253	CIP-006-1	R6; R6.1; R6.2; R6.3	Medium	Moderate	5/7/2013	X
12/30/2013	NP14-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$110,000	SA	SERC2011007385	CIP-005-2	R3	Medium	Moderate	4/9/2013	X
12/30/2013	NP14-14-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$74,500	SNOP	SPP2011008252	CIP-006-1	R3	Medium	Moderate	4/6/2013	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC2012010854	CIP-005-3a	R2; R2.2	Medium	Moderate	3/1/2013	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SNOP	SERC2013011815	CIP-006-3c	R2; R2.2	Medium	Minimal	2/28/2013	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SNOP	SERC2013011825	CIP-005-3	R1; R1.5	Medium	Minimal	2/28/2013	X
12/30/2013	NP14-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$110,000	SA	SERC2012011380	CIP-005-3a	R5	Lower	Minimal	2/25/2013	X
12/30/2013	NP14-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$110,000	SA	SERC2012010793	CIP-007-3	R3	Lower	Moderate	1/25/2013	X
12/30/2013	NP14-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	SERC2011006597	CIP-006-1	R1	Medium	Moderate	1/14/2013	X
12/30/2013	NP14-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	SERC2012010945	CIP-006-1	R2	Medium	Serious	1/14/2013	X
12/30/2013	NP14-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	SERC2011006595	CIP-007-1	R1	Medium	Moderate	1/14/2013	X
12/30/2013	NP14-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	SERC2011006596	CIP-007-1	R2	Medium	Moderate	1/14/2013	X
12/30/2013	NP14-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	SERC2011006598	CIP-007-1	R3	Lower	Serious	1/14/2013	X
12/30/2013	NP14-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	SERC2011006599	CIP-007-1	R4	Medium	Minimal	1/14/2013	X
12/30/2013	NP14-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	SERC2011006600	CIP-007-1	R5	Lower	Serious	1/14/2013	X
12/30/2013	NP14-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	SERC2011006601	CIP-007-1	R6	Lower	Minimal	1/14/2013	X
12/30/2013	NP14-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	SERC2011006602	CIP-007-1	R7	Lower	Moderate	1/14/2013	X
12/30/2013	NP14-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	SERC2011006603	CIP-007-1	R8	Lower	Serious	1/14/2013	X
12/30/2013	NP14-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$110,000	SA	SERC2013011678	CIP-007-3	R6	Medium	Moderate	1/14/2013	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SNOP	SERC2011009009	CIP-007-3a	R3; R3.1	Lower	Minimal	1/10/2013	X
12/30/2013	NP14-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	SERC2012010943	CIP-005-3a	R3	Medium	Moderate	1/9/2013	X
12/30/2013	NP14-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$110,000	SA	SERC2012011584	CIP-004-3	R4	Lower	Minimal	1/1/2013	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$ (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.))	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SNOP	SERC2011006645	CIP-007-1	R2; R2.1; R2.2	Medium	Minimal	12/28/2012	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SNOP	SERC201000442	CIP-006-1	R1	Medium	Moderate	12/21/2012	X
12/30/2013	NP14-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	SERC2011008277	CIP-003-1	R4	Medium	Moderate	12/19/2012	X
12/30/2013	NP14-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	SERC2011008278	CIP-003-1	R5	Lower	Minimal	12/19/2012	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SNOP	SERC2011009003	CIP-006-1	R3	Medium	Moderate	12/15/2012	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SNOP	SERC2011008319	CIP-005-1	R2	Medium	Minimal	12/10/2012	X
12/30/2013	NP14-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	SERC2011008283	CIP-009-1	R1	Medium	Minimal	12/6/2012	X
12/30/2013	NP14-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	SERC2012010949	CIP-008-3	R1; R1.4	Lower	Minimal	11/29/2012	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SNOP	SERC2011009000	CIP-005-1	R3	Medium	Moderate	11/29/2012	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC2012010853	CIP-005-1	R1; R1.5	Medium	Moderate	11/15/2012	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC2012010855	CIP-006-1	R1; R1.8	Lower	Moderate	11/15/2012	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC2012010856	CIP-007-1	R1; R1.3	Lower	Moderate	11/15/2012	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC2012010852	CIP-003-3	R6	Lower	Minimal	11/11/2012	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SNOP	SERC2011008320	CIP-004-3	R4; R4.2	Lower	Minimal	11/7/2012	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC2012010857	CIP-005-1	R3; R3.2	Medium	Minimal	11/1/2012	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC2012010859	CIP-007-1	R5; R5.2.3; R5.3	Lower	Moderate	11/1/2012	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC2012010858	CIP-007-1	R6; R6.3	Medium	Minimal	11/1/2012	X
12/30/2013	NP14-19-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$185,000	SA	WECC2012009796	CIP-007-1	R5; R5.2.3	Medium	Minimal	10/15/2012	X
12/30/2013	NP14-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	SERC2012010946	CIP-006-1	R3	Medium	Minimal	10/5/2012	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SNOP	SERC2011008318	CIP-007-3a	R5; R5.1	Medium	Minimal	9/28/2012	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SNOP	SERC2011006615	CIP-005-1	R2; R2.4, R2.5	Medium	Minimal	9/21/2012	X
12/30/2013	NP14-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	SERC2011006592	CIP-002-1	R3	High	Moderate	9/14/2012	X
12/30/2013	NP14-14-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$5,000	SNOP	SPP2012010286	CIP-006-1	R1; R1.8	Medium	Moderate	9/13/2012	X
12/30/2013	NP14-20-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	SERC201000523	CIP-004-1	R4	Lower	Minimal	9/12/2012	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SNOP	SERC2011009004	CIP-006-1	R6	Medium	Moderate	8/31/2012	X
12/30/2013	NP14-19-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$185,000	SA	WECC2012009759	CIP-005-1	R1	Medium	Minimal	8/30/2012	X
12/30/2013	NP14-19-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$185,000	SA	WECC2012009797	CIP-007-1	R8; R8.4	Medium	Moderate	8/30/2012	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC2012010637	CIP-006-1	R1; R1.8	Lower	Moderate	8/27/2012	X
12/30/2013	NP14-19-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$185,000	SA	WECC2012009793	CIP-007-1	R2	Medium	Moderate	8/20/2012	X
12/30/2013	NP14-19-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$185,000	SA	WECC2012009794	CIP-007-1	R3	Lower	Minimal	8/15/2012	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SNOP	SERC2011009007	CIP-007-1	R4; R4.2	Medium	Moderate	8/15/2012	X
12/30/2013	NP14-19-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$185,000	SA	WECC2012009792	CIP-007-1	R1	Medium	Moderate	7/31/2012	X
12/30/2013	NP14-19-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$185,000	SA	WECC2012009795	CIP-007-1	R4	Medium	Minimal	7/31/2012	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	SERC201000512	CIP-002-1	R2	High	Moderate	7/19/2012	X
12/30/2013	NP14-19-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$185,000	SA	WECC2012009779	CIP-002-1	R3	High	Moderate	7/12/2012	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SNOP	SERC2012010737	CIP-005-3a	R1; R1.5	Medium	Minimal	6/30/2012	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SNOP	SERC2011006613	CIP-006-1	R1; R1.8	Medium	Moderate	6/28/2012	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SNOP	SERC2011006616	CIP-005-1	R1; R1.5	Medium	Moderate	6/28/2012	X
12/30/2013	NP14-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$110,000	SA	SERC2012010346	CIP-009-1	R5	Lower	Minimal	6/20/2012	X
12/30/2013	NP14-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$110,000	SA	SERC2012010549	CIP-005-3a	R2	Medium	Moderate	6/8/2012	X
12/30/2013	NP14-14-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$7,000	SNOP	WECC2012009123	CIP-005-3a	R1	Medium	Minimal	5/31/2012	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC2010006674	CIP-007-1	R2	Medium	Serious	5/21/2012	X
12/30/2013	NP14-19-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$185,000	SA	WECC2011008709	CIP-004-3	R4; R4.2	Lower	Minimal	4/15/2012	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SNOP	SERC2011006646	CIP-007-1	R8; R8.3	Medium	Minimal	4/12/2012	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SNOP	SERC2011006647	CIP-005-1	R4; R4.2; R4.3; R4.4; R4.5	Medium	Moderate	4/12/2012	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SNOP	SERC2013012823	CIP-005-3a	R1; R1.4	Medium	Moderate	4/12/2012	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SNOP	SERC2011006644	CIP-005-1	R2; R2.2	Medium	Moderate	4/3/2012	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SNOP	SERC2011009006	CIP-007-1	R1; R1.3	Medium	Moderate	4/3/2012	X
12/30/2013	NP14-14-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$7,000	SNOP	WECC2012009124	CIP-006-3c	R1	Medium	Minimal	2/15/2012	X
12/30/2013	NP14-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$110,000	SA	SERC2011008616	CIP-006-3a	R6	Lower	Minimal	2/14/2012	X
12/30/2013	NP14-22-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	WECC2011024498	CIP-006-1	R1; R1.1; R1.2; R1.4; R1.6; R1.8	Medium	Moderate	2/1/2012	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC2012009690	CIP-006-3c	R8; R8.1	Medium	Minimal	1/30/2012	X
12/30/2013	NP14-22-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	WECC201102906	CIP-003-1	R4	Medium	Minimal	12/9/2011	X
12/30/2013	NP14-22-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	WECC201103022	CIP-006-3c	R1; R1.4; R1.5	Medium	Minimal	12/9/2011	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC2010006675	CIP-007-1	R3	Lower	Serious	11/14/2011	X
12/30/2013	NP14-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$110,000	SA	SERC2011007531	CIP-004-3	R2	Lower	Minimal	10/25/2011	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SNOP	SERC2011006614	CIP-005-1	R2; R2.2	Medium	Moderate	9/29/2011	X
12/30/2013	NP14-22-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	WECC201102806	CIP-006-1	R3.1	Medium	Minimal	9/23/2011	X
12/30/2013	NP14-18-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$110,000	SA	SERC2011007156	CIP-006-3a	R1	Medium	Minimal	9/9/2011	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC2010006671	CIP-005-1	R2; R2.2	Medium	Moderate	8/12/2011	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$) (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.)	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC201000672	CIP-005-1	R3	Medium	Minimal	8/12/2011	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC201000676	CIP-007-1	R5	Lower	Moderate	8/3/2011	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC201000670	CIP-005-1	R1; R1.5	Medium	Moderate	7/21/2011	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC2011007656	CIP-004-3	R3; R3.2	Lower	Minimal	7/5/2011	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC201000673	CIP-005-1	R5; R5.1	Lower	Moderate	7/5/2011	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC2011007657	CIP-007-3a	R5; R5.3.3	Medium	Moderate	7/5/2011	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC201000668	CIP-004-1	R4	Lower	Minimal	6/30/2011	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SNOP	SERC2011006617	CIP-005-1	R1; R1.1	Medium	Minimal	5/31/2011	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC201000669	CIP-005-1	R1; R1.1; R1.4	Medium	Minimal	4/13/2011	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC200900419	CIP-004-1	R4	Lower	Minimal	3/31/2011	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC201000677	CIP-009-1	R1	Medium	Moderate	3/30/2011	X
12/30/2013	NP14-14-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SNOP	SERC2011006608	CIP-006-2	R3	Medium	Minimal	3/9/2011	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC201000666	CIP-003-1	R5	Lower	Moderate	2/22/2011	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC201000665	CIP-003-1	R4	Medium	Moderate	1/7/2011	X
12/30/2013	NP14-22-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	WECC201002325	CIP-006-1	R1	Medium	Moderate	10/26/2010	X
12/30/2013	NP14-22-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	WECC201002358	CIP-007-2a	R1	Medium	Minimal	9/8/2010	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC201000667	CIP-003-1	R6	Lower	Moderate	8/18/2010	X
12/30/2013	NP14-22-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	WECC201002328	CIP-007-1	R5; R5.2.1; R5.3.2	Medium	Minimal	7/19/2010	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC201000507	CIP-004-1	R1	Lower	Minimal	3/4/2010	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC200900418	CIP-005-1	R2; R2.5.2	Lower	Moderate	1/29/2010	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC200900417	CIP-004-1	R3	Medium	Minimal	11/24/2009	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC200900416	CIP-004-1	R2; R2.1	Medium	Minimal	8/25/2009	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC200900414	CIP-002-1	R3	High	Moderate	6/30/2009	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC200900420	CIP-008-1	R1	Lower	Minimal	6/30/2009	X
12/30/2013	NP14-16-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SA	SERC200900415	CIP-003-1	R1; 1.2	Lower	Minimal	10/22/2008	X
11/27/2013	NP14-6-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2013012426	CIP-005-1	R1	Medium	Moderate	3/30/2014 (approved completion date)	X
11/27/2013	NP14-6-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$2,000	SNOP	FRCC2011008540	CIP-006-1	R1; R1.8	Lower	Moderate	9/30/2013	X
11/27/2013	NP14-6-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2013012425	CIP-003-1	R4	Lower	Moderate	9/16/2013	X
11/27/2013	NP14-6-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2013012421	CIP-007-1	R3; R3.1; R3.2	Lower	Moderate	6/14/2013	X
11/27/2013	NP14-6-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	WECC2012010896	CIP-007-3	R4	Medium	Moderate	6/11/2013	X
11/27/2013	NP14-6-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	WECC2012011176	CIP-005-1	R2; R2.1; R2.2	Medium	Moderate	4/30/2013	X
11/27/2013	NP14-6-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	WECC2013012109	CIP-006-3c	R2; R2.1; R2.2	Medium	Minimal	3/27/2013	X
11/27/2013	NP14-6-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	WECC2013012110	CIP-007-3a	R3; R3.1	Lower	Minimal	3/27/2013	X
11/27/2013	NP14-8-000	RF	Whiting Clean Energy, Inc.	NCR00417	\$35,000	SA	RFC2012011350	CIP-001-1	R2	Medium	Minimal	1/10/2013	X
11/27/2013	NP14-6-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SNOP	WECC2012009993	CIP-006-1	R1	Medium	Minimal	8/1/2012	X
10/30/2013	NP14-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2013012173	CIP-006-3c	R5	Medium	Minimal	8/30/2013	X
10/30/2013	NP14-4-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$41,000	SNOP	SERC2013011764	CIP-006-1	R1; R1.8	Medium	Minimal	8/1/2013	X
10/30/2013	NP14-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012011566	CIP-004-3	R4; R4.1; R4.2	Lower	Minimal	7/31/2013	X
10/30/2013	NP14-5-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	NOP	RFC2012011205	CIP-007-3	R3; R3.1	Lower	Moderate	5/8/2013	X
10/30/2013	NP14-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012010168	CIP-003-1	R6	Lower	Moderate	5/8/2013	X
10/30/2013	NP14-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012010104	CIP-003-1	R6	Lower	Moderate	5/8/2013	X
10/30/2013	NP14-4-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$41,000	SNOP	SERC2013011762	CIP-004-3	R4; R4.2	Lower	Minimal	4/6/2013	X
10/30/2013	NP14-4-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$41,000	SNOP	SERC2013011767	CIP-007-1	R2; R2.1	Medium	Moderate	3/14/2013	X
10/30/2013	NP14-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012010103	CIP-006-1	R2	Medium	Moderate	12/14/2012	X
10/30/2013	NP14-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2011001271	CIP-006-1	R2; R2.2	Medium	Moderate	12/14/2012	X
10/30/2013	NP14-4-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$41,000	SNOP	SERC2013011760	CIP-007-3a	R3; R3.1	Lower	Moderate	10/18/2012	X
10/30/2013	NP14-4-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$41,000	SNOP	SERC2013011766	CIP-006-3c	R2; R2.2	Medium	Minimal	10/18/2012	X
10/30/2013	NP14-5-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	NOP	RFC2012010350	CIP-007-3a	R5; R5.2.2; R5.3.3	Lower	Moderate	10/1/2012	X
10/30/2013	NP14-5-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	NOP	RFC2012010349	CIP-007-3a	R1; R1.1	Medium	Minimal	9/26/2012	X
10/30/2013	NP14-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012010171	CIP-007-1	R1	Medium	Minimal	8/20/2012	X
10/30/2013	NP14-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012010106	CIP-007-1	R1	Medium	Minimal	8/20/2012	X
10/30/2013	NP14-5-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	NOP	RFC2010002090	CIP-004-1	R4	Lower	Minimal	7/31/2012	X
10/30/2013	NP14-5-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	NOP	RFC2012010329	CIP-004-3	R4	Lower	Minimal	7/31/2012	X
10/30/2013	NP14-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012010167	CIP-007-1	R8; R8.2	Medium	Minimal	7/31/2012	X
10/30/2013	NP14-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012010170	CIP-007-1	R3	Lower	Minimal	7/31/2012	X
10/30/2013	NP14-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012010107	CIP-007-1	R3	Lower	Minimal	7/31/2012	X
10/30/2013	NP14-4-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$14,000	SNOP	SERC2013011755	CIP-006-1	R1; R1.8	Medium	Minimal	6/26/2012	X
10/30/2013	NP14-4-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$14,000	SNOP	SERC2013011757	CIP-006-3c	R2; R2.2	Medium	Minimal	6/26/2012	X
10/30/2013	NP14-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2011001224	CIP-003-1	R6	Lower	Moderate	6/20/2012	X

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10/30/2013	NP14-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012010109	CIP-007-1	R8	Medium	Minimal	6/4/2012	X
10/30/2013	NP14-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012010169	CIP-005-1	R4	Medium	Minimal	5/31/2012	X
10/30/2013	NP14-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012010105	CIP-005-1	R4; R4.2	Medium	Minimal	5/31/2012	X
10/30/2013	NP14-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2011001230	CIP-007-1	R1; R1.3	Medium	Moderate	5/14/2012	X
10/30/2013	NP14-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2011001237	CIP-007-1	R8	Medium	Moderate	5/14/2012	X
10/30/2013	NP14-4-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$41,000	SNOP	SERC2012009651	CIP-007-1	R2, R2.1	Medium	Minimal	5/8/2012	X
10/30/2013	NP14-4-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$41,000	SNOP	SERC2012011334	CIP-006-1	R1, R1.8	Medium	Moderate	3/30/2012	X
10/30/2013	NP14-4-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$14,000	SNOP	SERC2012011335	CIP-006-1	R1; R1.8	Medium	Moderate	3/30/2012	X
10/30/2013	NP14-4-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$41,000	SNOP	SERC2011008331	CIP-007-1	R3, R3.1	Lower	Moderate	3/27/2012	X
10/30/2013	NP14-4-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$41,000	SNOP	SERC2012010509	CIP-004-2	R4, R4.2	Lower	Minimal	3/16/2012	X
10/30/2013	NP14-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2011001225	CIP-005-1	R1; R1.1, R1.5	Medium	Minimal	3/16/2012	X
10/30/2013	NP14-4-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$14,000	SNOP	SERC2012009650	CIP-007-1	R2, R2.1	Medium	Minimal	1/18/2012	X
10/30/2013	NP14-4-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$14,000	SNOP	SERC2012010581	CIP-007-3a	R3; R3.1	Lower	Minimal	11/18/2011	X
10/30/2013	NP14-4-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$41,000	SNOP	SERC2011008285	CIP-004-1	R4, R4.2	Lower	Minimal	3/17/2011	X
10/30/2013	NP14-4-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$14,000	SNOP	SERC2011008287	CIP-004-1	R4; R4.2	Lower	Minimal	3/17/2011	X
10/30/2013	NP14-4-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$41,000	SNOP	SERC201000743	CIP-007-1	R4, R4.1	Medium	Minimal	2/28/2011	X
10/30/2013	NP14-4-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$41,000	SNOP	SERC201000751	CIP-005-1	R1, R1.6	Medium	Moderate	2/28/2011	X
10/30/2013	NP14-5-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	NOP	RFC201000289	CIP-004-1	R3; R3.3	Lower	Minimal	12/27/2010	X
10/30/2013	NP14-4-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$14,000	SNOP	SERC201000603	CIP-007-1	R6; R6.4	Lower	Moderate	11/29/2010	X
10/30/2013	NP14-5-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	NOP	RFC201000288	CIP-004-1	R2	Lower	Minimal	2/23/2010	X
9/30/2013	NP13-57-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$100,000	SNOP	FRCC2012011023	CIP-005-1	R1; R1.5; R1.6	Medium	Moderate	7/11/2013	X
9/30/2013	NP13-57-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$100,000	SNOP	FRCC2012011024	CIP-006-1	R1; R1.8	Lower	Moderate	7/11/2013	X
9/30/2013	NP13-57-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	WECC2013012045	CIP-007-3a	R2, R2.1; R2.2	Medium	Minimal	6/28/2013	X
9/30/2013	NP13-57-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	WECC2013012047	CIP-007-1	R5	Medium	Moderate	6/28/2013	X
9/30/2013	NP13-57-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	WECC2013012055	CIP-007-3a	R2	Medium	Minimal	6/28/2013	X
9/30/2013	NP13-57-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$100,000	SNOP	FRCC2012011050	CIP-005-3a	R3; R3.2	Medium	Minimal	6/27/2013	X
9/30/2013	NP13-55-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	WECC2012010601	CIP-007-1	R3	Lower	Moderate	4/16/2013	X
9/30/2013	NP13-55-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	WECC2013012117	CIP-002-3	R1	Medium	Minimal	4/4/2013	X
9/30/2013	NP13-57-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$100,000	SNOP	FRCC2012010621	CIP-007-3	R2, R2.1; R2.2; R2.3	Medium	Moderate	3/31/2013	X
9/30/2013	NP13-57-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$100,000	SNOP	FRCC2012010626	CIP-007-3	R8; R8.2	Medium	Minimal	3/31/2013	X
9/30/2013	NP13-57-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012010161	CIP-003-3	R6	Lower	Moderate	3/18/2013	X
9/30/2013	NP13-57-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012010165	CIP-006-3a	R2; R2.2	Medium	Moderate	3/18/2013	X
9/30/2013	NP13-57-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012010174	CIP-003-3	R6	Lower	Moderate	3/18/2013	X
9/30/2013	NP13-57-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012010176	CIP-006-3a	R2; R2.2	Medium	Moderate	3/18/2013	X
9/30/2013	NP13-57-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$100,000	SNOP	FRCC2011008539	CIP-005-1	R2; R2.1; R2.2	Medium	Moderate	2/28/2013	X
9/30/2013	NP13-55-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	WECC2012010597	CIP-005-1	R2	Medium	Minimal	2/21/2013	X
9/30/2013	NP13-55-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	WECC2012010596	CIP-005-1	R1	Medium	Moderate	1/24/2013	X
9/30/2013	NP13-55-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	WECC2012010752	CIP-007-1	R8	Medium	Moderate	1/24/2013	X
9/30/2013	NP13-55-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	WECC2012010758	CIP-006-1	R1	Medium	Moderate	1/18/2013	X
9/30/2013	NP13-57-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$34,000	SNOP	MRO201100315	CIP-007-1	R5	Lower	Moderate	12/31/2012	X
9/30/2013	NP13-57-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$34,000	SNOP	MRO201100314	CIP-007-1	R3	Lower	Moderate	12/21/2012	X
9/30/2013	NP13-57-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012010162	CIP-005-3	R4	Medium	Minimal	12/21/2012	X
9/30/2013	NP13-57-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012010164	CIP-007-3a	R8.2	Medium	Minimal	12/21/2012	X
9/30/2013	NP13-57-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012010172	CIP-007-3a	R3	Lower	Moderate	12/21/2012	X
9/30/2013	NP13-57-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012010173	CIP-007-3a	R8.2	Medium	Minimal	12/21/2012	X
9/30/2013	NP13-57-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012010175	CIP-005-3	R4	Medium	Minimal	12/21/2012	X
9/30/2013	NP13-55-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	WECC2012010600	CIP-007-1	R1	Medium	Moderate	12/14/2012	X
9/30/2013	NP13-57-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$100,000	SNOP	FRCC2012010625	CIP-007-1	R6; R6.1; R6.2; R6.4; R6.5	Medium	Moderate	12/14/2012	X
9/30/2013	NP13-57-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012010166	CIP-007-3a	R3	Lower	Moderate	12/11/2012	X
9/30/2013	NP13-55-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	WECC2012010602	CIP-003-1	R6	Lower	Moderate	12/6/2012	X
9/30/2013	NP13-55-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	WECC2012010747	CIP-008-1	R1	Lower	Minimal	11/14/2012	X
9/30/2013	NP13-55-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	WECC2012010735	CIP-006-1	R6	Medium	Moderate	10/26/2012	X
9/30/2013	NP13-55-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	WECC2012010757	CIP-004-1	R4	Lower	Moderate	10/23/2012	X
9/30/2013	NP13-57-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012010163	CIP-007-3a	R1	Medium	Minimal	9/21/2012	X
9/30/2013	NP13-57-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012010177	CIP-007-3a	R1	Medium	Minimal	9/21/2012	X
9/30/2013	NP13-55-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	WECC2012010748	CIP-005-1	R4	Medium	Moderate	8/30/2012	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$) (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.)	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
9/30/2013	NP13-55-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	WECC2012010603	CIP-009-1	R1	Medium	Moderate	8/22/2012	X
9/30/2013	NP13-55-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	WECC2012010749	CIP-009-1	R2	Lower	Moderate	8/22/2012	X
9/30/2013	NP13-55-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	WECC2012010756	CIP-009-1	R4	Lower	Moderate	8/22/2012	X
9/30/2013	NP13-55-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	WECC2012010755	CIP-009-1	R5	Lower	Moderate	8/22/2012	X
9/30/2013	NP13-57-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$20,000	SNOP	WECC2012009392	CIP-007-1	R5; R5.2.3	Lower	Minimal	6/28/2012	X
9/30/2013	NP13-57-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$20,000	SNOP	WECC2012009391	CIP-006-3a	R5	Medium	Minimal	6/27/2012	X
9/30/2013	NP13-57-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$34,000	SNOP	MRO201100312	CIP-004-1	R3; R3.1	Lower	Moderate	5/25/2012	X
9/30/2013	NP13-57-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$20,000	SNOP	WECC2012009389	CIP-004-1	R4	Lower	Minimal	6/9/2011	X
8/30/2013	NP13-51-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$35,000	SNOP	FRCC2012010358	CIP-007-1	R3; R3.1; R3.2	Lower	Moderate	12/20/2013 (approved completion date)	X
8/30/2013	NP13-51-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$17,200	SNOP	TRE201100559	CIP-007-1	R8	Lower	Moderate	7/11/2013	X
8/30/2013	NP13-51-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$35,000	SNOP	FRCC2012010359	CIP-005-1	R3; R3.1; R3.2	Medium	Moderate	5/14/2013	X
8/30/2013	NP13-51-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$35,000	SNOP	FRCC2012010357	CIP-005-1	R2; R2.1; R2.2; R2.3; R2.4	Medium	Moderate	2/21/2013	X
8/30/2013	NP13-51-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$35,000	SNOP	FRCC2011008325	CIP-006-1	R1.8	Lower	Moderate	10/2/2012	X
8/30/2013	NP13-51-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$6,000	SNOP	MRO201100371	CIP-002-1	R3	High	Minimal	9/10/2012	X
8/30/2013	NP13-51-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$35,000	SNOP	FRCC2011008326	CIP-007-1	R2; R2.1; R2.2	Medium	Moderate	8/30/2012	X
8/30/2013	NP13-51-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$20,000	SNOP	WECC2012010764	CIP-005-2	R3	Medium	Minimal	3/28/2012	X
8/30/2013	NP13-51-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$35,000	SNOP	FRCC2011008323	CIP-005-1	R1.5	Medium	Moderate	3/14/2012	X
8/30/2013	NP13-51-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$35,000	SNOP	FRCC2011008324	CIP-006-1	R1.1	Medium	Moderate	12/30/2011	X
8/30/2013	NP13-51-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	TRE201100470	CIP-007-2a	R2	Medium	Moderate	12/22/2011	X
8/30/2013	NP13-51-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	TRE201100472	CIP-007-2a	R8; R8.2	Medium	Moderate	12/22/2011	X
8/30/2013	NP13-51-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$17,200	SNOP	TRE201100556	CIP-005-1	R4; R4.3	Medium	Moderate	9/1/2011	X
8/30/2013	NP13-51-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$4,800	SNOP	TRE2011010292	CIP-004-1	R4	Lower	Moderate	12/31/2010	X
7/31/2013	NP13-45-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	WECC2011008652	CIP-005-1	R1	Medium	Moderate	TBD	X
7/31/2013	NP13-45-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	WECC2011008653	CIP-005-1	R2	Medium	Moderate	TBD	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC2012001317	CIP-005-3	R2	Medium	Moderate	8/20/2013 (approved completion date)	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC2011008270	CIP-005-3	R2	Medium	Moderate	8/20/2013 (approved completion date)	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC201100879	CIP-006-3	R2	Medium	Moderate	8/20/2013 (approved completion date)	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC2012001314	CIP-007-3	R5	Lower	Moderate	7/31/2013 (approved completion date)	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC2011007981	CIP-007-3	R5	Lower	Moderate	7/31/2013 (approved completion date)	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC2011007570	CIP-007-3	R5	Lower	Minimal	7/31/2013 (approved completion date)	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC2011007573	CIP-007-3	R5	Lower	Moderate	7/31/2013 (approved completion date)	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC201100876	CIP-005-3	R1	Medium	Moderate	7/30/2013 (approved completion date)	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC2012010396	CIP-003-3	R5	Lower	Moderate	12/31/2013 (approved completion date)	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC2013011704	CIP-003-3	R5	Lower	Moderate	12/31/2013 (approved completion date)	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC201100878	CIP-006-3	R1	Medium	Minimal	12/30/2013 (approved completion date)	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC2013011711	CIP-006-3	R1	Medium	Minimal	12/30/2013 (approved completion date)	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC2013011771	CIP-006-3	R1	Medium	Moderate	12/30/2013 (approved completion date)	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC2011007872	CIP-006-3	R1	Medium	Minimal	12/30/2013 (approved completion date)	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC2011008001	CIP-006-3	R1	Medium	Minimal	12/30/2013 (approved completion date)	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC2011007881	CIP-006-3	R2	Medium	Minimal	12/30/2013 (approved completion date)	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC2011001264	CIP-004-3	R4	Lower	Minimal	1/31/2014 (approved completion date)	X

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7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC2013011705	CIP-004-3	R4	Lower	Minimal	1/31/2014 (approved completion date)	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC201000506	CIP-004-3	R4	Lower	Minimal	1/31/2014 (approved completion date)	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC2012001318	CIP-005-3	R1	Medium	Minimal	5/8/2013	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC2011007571	CIP-005-3	R1	Medium	Moderate	5/8/2013	X
7/31/2013	NP13-47-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	WECC2013012167	CIP-005-1	R1	Medium	Minimal	5/3/2013	X
7/31/2013	NP13-47-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	WECC2013012168	CIP-005-3	R2; R2.1	Medium	Minimal	5/3/2013	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC2012010400	CIP-009-3	R5	Lower	Moderate	5/2/2013	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC2013011709	CIP-009-3	R5	Lower	Moderate	5/2/2013	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC2011001114	CIP-007-3	R6	Lower	Moderate	3/28/2013	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC2011007880	CIP-007-3	R6	Lower	Moderate	3/28/2013	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC2011007572	CIP-007-3	R6	Lower	Moderate	3/28/2013	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC2011008002	CIP-007-3	R6	Lower	Moderate	3/28/2013	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC2011008272	CIP-007-3	R6	Lower	Minimal	3/28/2013	X
7/31/2013	NP13-45-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	WECC2012011489	CIP-006-1	R1	Medium	Minimal	3/14/2013	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC2012009881	CIP-007-3	R1	Medium	Moderate	2/25/2013	X
7/31/2013	NP13-45-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	WECC2011008659	CIP-007-1	R4	Medium	Moderate	2/25/2013	X
7/31/2013	NP13-47-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	WECC2013011961	CIP-004-1	R4	Lower	Minimal	2/24/2013	X
7/31/2013	NP13-47-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	WECC2013011959	CIP-007-1	R5; R5.3.3	Medium	Minimal	2/22/2013	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC2011001058	CIP-003-3	R4	Medium	Moderate	2/14/2013	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC2011007658	CIP-003-3	R4	Medium	Moderate	2/14/2013	X
7/31/2013	NP13-47-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	WECC2013011953	CIP-005-3a	R1; R1.5	Medium	Minimal	2/14/2013	X
7/31/2013	NP13-47-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	WECC2013011958	CIP-007-3a	R1	Medium	Minimal	2/14/2013	X
7/31/2013	NP13-47-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	WECC2013011954	CIP-006-3c	R2; R2.2	Medium	Minimal	2/13/2013	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC2012010397	CIP-005-3	R5	Lower	Minimal	2/11/2013	X
7/31/2013	NP13-45-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	WECC2011008651	CIP-004-1	R4	Lower	Moderate	2/5/2013	X
7/31/2013	NP13-47-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	MRO201100340	CIP-002-1	R1; R1.2.1	Medium	Minimal	2/1/2013	X
7/31/2013	NP13-47-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	MRO201100343	CIP-003-1	R6	Lower	Minimal	2/1/2013	X
7/31/2013	NP13-47-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	MRO201100344	CIP-004-1	R3	Medium	Minimal	2/1/2013	X
7/31/2013	NP13-47-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	MRO201100345	CIP-004-1	R4; R4.1	Lower	Minimal	2/1/2013	X
7/31/2013	NP13-47-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	MRO201100346	CIP-005-1	R1; R1.5	Medium	Minimal	2/1/2013	X
7/31/2013	NP13-47-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	MRO201100347	CIP-005-1	R2; R2.2	Medium	Minimal	2/1/2013	X
7/31/2013	NP13-47-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	MRO201100348	CIP-005-1	R3; R3.2	Medium	Minimal	2/1/2013	X
7/31/2013	NP13-47-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	MRO201100349	CIP-005-1	R4.2; R4.5	Medium	Minimal	2/1/2013	X
7/31/2013	NP13-47-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	MRO201100352	CIP-007-1	R1; R1.1; R1.2; R1.3	Medium	Minimal	2/1/2013	X
7/31/2013	NP13-47-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	MRO201100353	CIP-007-1	R2; R2.2	Medium	Minimal	2/1/2013	X
7/31/2013	NP13-47-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	MRO201100354	CIP-007-1	R3	Lower	Minimal	2/1/2013	X
7/31/2013	NP13-47-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	MRO201100355	CIP-007-1	R4; R4.2	Medium	Minimal	2/1/2013	X
7/31/2013	NP13-47-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	MRO201100356	CIP-007-1	R5; R5.1.1; R5.1.2; R5.1.3; R5.2; R5.2.1; R5.2.3	Lower	Minimal	2/1/2013	X
7/31/2013	NP13-47-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	MRO201100357	CIP-007-1	R6; R6.2; R6.4	Lower	Minimal	2/1/2013	X
7/31/2013	NP13-47-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	MRO201100358	CIP-007-1	R8; R8.2; R8.3; R8.4	Lower	Minimal	2/1/2013	X
7/31/2013	NP13-47-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	MRO201100359	CIP-009-1	R4	Lower	Minimal	2/1/2013	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC2012001319	CIP-002-3	R3	High	Serious	1/31/2013	X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$) (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.)	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC2011008000	CIP-002-3	R3	High	Serious	1/31/2013	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC2011007525	CIP-002-3	R3	High	Serious	1/31/2013	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC2012010398	CIP-008-3	R1	Lower	Moderate	1/17/2013	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC2013011712	CIP-008-3	R1	Lower	Moderate	1/17/2013	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC2012009880	CIP-003-3	R6	Lower	Moderate	1/10/2013	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC2013011710	CIP-003-3	R6	Lower	Moderate	1/10/2013	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC2011008269	CIP-003-3	R6	Lower	Moderate	1/10/2013	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC2011001057	CIP-002-3	R3	High	Serious	12/31/2012	X
7/31/2013	NP13-45-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	WECC2011008660	CIP-007-1	R5	Medium	Moderate	12/28/2012	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC2011001244	CIP-004-3	R4	Lower	Minimal	12/18/2012	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC2012001315	CIP-007-3	R2	Medium	Moderate	12/13/2012	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC2011001112	CIP-007-3	R3	Lower	Moderate	12/13/2012	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC2011007998	CIP-007-3	R3	Lower	Moderate	12/13/2012	X
7/31/2013	NP13-45-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	WECC2011008657	CIP-007-1	R2	Medium	Moderate	10/5/2012	X
7/31/2013	NP13-45-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	WECC2011008658	CIP-007-1	R3	Lower	Moderate	10/5/2012	X
7/31/2013	NP13-45-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	WECC2011008661	CIP-007-1	R6	Lower	Moderate	10/5/2012	X
7/31/2013	NP13-47-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	SPP2012009927	CIP-005-1	R3; R3.2	Medium	Minimal	9/7/2012	X
7/31/2013	NP13-47-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	WECC2012010414	CIP-004-3	R4; R4.1; R4.2	Lower	Minimal	9/5/2012	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC2011001062	CIP-007-3	R5	Lower	Moderate	8/31/2012	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC201100877	CIP-005-3a	R4	Medium	Moderate	8/29/2012	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC2011007871	CIP-005-3a	R4	Medium	Moderate	8/29/2012	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC201100881	CIP-007-3	R5	Lower	Minimal	8/27/2012	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC2011001113	CIP-007-3	R5	Lower	Minimal	8/27/2012	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC201100883	CIP-007-3a	R8	Lower	Moderate	8/17/2012	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC2011001245	CIP-007-3a	R8	Lower	Minimal	8/17/2012	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC2011007870	CIP-007-3a	R8	Lower	Moderate	8/17/2012	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC2013011723	CIP-006-3c	R5	Medium	Moderate	8/15/2012	X
7/31/2013	NP13-47-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	SPP2012009936	CIP-007-1	R6; R6.1; R6.2; R6.3; R6.4; R6.5	Medium;	Minimal	7/25/2012	X
7/31/2013	NP13-47-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	SPP2011008257	CIP-007-3a	R2; 2.1; 2.2	Medium	Minimal	7/16/2012	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC2011001243	CIP-002-3	R3	High	Serious	6/29/2012	X
7/31/2013	NP13-47-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$17,000	SNOP	WECC2012009451	CIP-005-3a	R1; R1.5	Medium	Minimal	6/28/2012	X
7/31/2013	NP13-47-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$17,000	SNOP	WECC2012009453	CIP-005-3a	R5; R5.2; R5.3	Lower	Minimal	6/28/2012	X
7/31/2013	NP13-47-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$17,000	SNOP	WECC2012009459	CIP-007-3a	R6; R6.3	Medium	Minimal	6/28/2012	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC2012010022	CIP-006-3c	R5	Medium	Moderate	5/8/2012	X

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7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC2012001316	CIP-005-3a	R3	Medium	Moderate	4/30/2012	X
7/31/2013	NP13-47-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	SPP2012011103	CIP-007-1	R3.2	Lower	Minimal	4/11/2012	X
7/31/2013	NP13-45-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$198,000	SA	WECC2011008654	CIP-005-3	R3	Medium	Minimal	3/9/2012	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC2011001060	CIP-007-3	R4	Medium	Moderate	12/7/2011	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	SERC2011007574	CIP-007-3	R4	Medium	Moderate	12/7/2011	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC201100882	CIP-007-3	R6	Lower	Moderate	12/7/2011	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC2011001064	CIP-007-3	R6	Lower	Moderate	12/7/2011	X
7/31/2013	NP13-46-000	RF, SERC	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$350,000	SA	RFC201100880	CIP-006-3	R4	Medium	Moderate	3/25/2011	X
6/27/2013	NP13-41-0000	RF, MRO	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX, NCRXXXXX	\$20,000	SNOP	RFC2012011446; RFC2012011447; RFC2012011448	CIP-004-1	R3	Medium	Moderate	4/30/2013	X
6/27/2013	NP13-41-0000	WECC	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	WECC2012011396	CIP-007-3	R7	Lower	Minimal	1/31/2013	X
6/27/2013	NP13-41-0000	RF, MRO	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX, NCRXXXXX	\$20,000	SNOP	RFC2012011588; RFC2012011589	CIP-003-3	R5	Lower	Moderate	1/18/2013	X
6/27/2013	NP13-41-0000	WECC	Unidentified Registered Entity	NCRXXXXX	\$60,000	SNOP	WECC2012010702	CIP-006-2a	R2; R2.2	Medium	Minimal	1/10/2013	X
6/27/2013	NP13-41-0000	WECC	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	WECC2012011087	CIP-007-3	R5; R5.1.1; R5.3.3	Medium	Minimal	12/14/2012	X
6/27/2013	NP13-41-0000	RF, MRO	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX, NCRXXXXX	\$20,000	SNOP	RFC2012010403	CIP-003-3	R6	Lower;	Moderate	12/13/2012	X
6/27/2013	NP13-41-0000	RF, MRO	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX, NCRXXXXX	\$20,000	SNOP	RFC2012011281	CIP-007-3	R1	Medium	Moderate	12/13/2012	X
6/27/2013	NP13-41-0000	RF, MRO	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX, NCRXXXXX	\$20,000	SNOP	RFC2012010773	CIP-007-3	R2	Medium	Moderate	12/13/2012	X
6/27/2013	NP13-41-0000	WECC	Unidentified Registered Entity	NCRXXXXX	\$60,000	SNOP	WECC2012011414	CIP-007-1	R4	Lower	Minimal	11/30/2012	X
6/27/2013	NP13-41-0000	WECC	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	WECC2012009396	CIP-004-3	R4; R4.1; R4.2	Lower	Minimal	11/29/2012	X
6/27/2013	NP13-41-0000	WECC	Unidentified Registered Entity	NCRXXXXX	\$60,000	SNOP	WECC2012009105	CIP-007-1	R2	Medium	Minimal	11/16/2012	X
6/27/2013	NP13-41-0000	WECC	Unidentified Registered Entity	NCRXXXXX	\$60,000	SNOP	WECC2012011417	CIP-007-3a	R8	Lower	Moderate	11/9/2012	X
6/27/2013	NP13-41-0000	WECC	Unidentified Registered Entity	NCRXXXXX	\$60,000	SNOP	WECC2012009107	CIP-007-1	R5; 5.1.3; R5.2.3; R5.3.2 and R5.3.3	Medium	Moderate	11/1/2012	X
6/27/2013	NP13-41-0000	WECC	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	WECC2012010362	CIP-006-3c	R2	Medium	Minimal	8/31/2012	X
6/27/2013	NP13-41-0000	WECC	Unidentified Registered Entity	NCRXXXXX	\$36,000	SNOP	WECC2012010366	CIP-007-3	R1	Medium	Minimal	7/11/2012	X
6/27/2013	NP13-41-0000	WECC	Unidentified Registered Entity	NCRXXXXX	\$36,000	SNOP	WECC2012010367	CIP-007-1	R5	Lower	Minimal	7/11/2012	X
6/27/2013	NP13-41-0000	WECC	Unidentified Registered Entity	NCRXXXXX	\$60,000	SNOP	WECC2012009106	CIP-007-1	R3; R3.2	Lower	Moderate	7/9/2012	X
6/27/2013	NP13-41-0000	WECC	Unidentified Registered Entity	NCRXXXXX	\$36,000	SNOP	WECC2012010006	CIP-007-1	R8	Lower	Minimal	6/25/2012	X
6/27/2013	NP13-41-0000	WECC	Unidentified Registered Entity	NCRXXXXX	\$36,000	SNOP	WECC2012010371	CIP-007-1	R2	Medium	Minimal	6/22/2012	X
6/27/2013	NP13-41-0000	WECC	Unidentified Registered Entity	NCRXXXXX	\$36,000	SNOP	WECC2012010370	CIP-007-1	R6	Lower	Minimal	6/22/2012	X
6/27/2013	NP13-41-0000	WECC	Unidentified Registered Entity	NCRXXXXX	\$36,000	SNOP	WECC2012010299	CIP-005-3a	R5	Lower	Minimal	5/25/2012	X
6/27/2013	NP13-41-0000	RF, MRO	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX, NCRXXXXX	\$20,000	SNOP	RFC2012010401	CIP-002-3	R3	High	Minimal	4/30/2012	X
6/27/2013	NP13-41-0000	WECC	Unidentified Registered Entity	NCRXXXXX	\$36,000	SNOP	WECC201103043	CIP-003-3	R6	Lower	Minimal	2/10/2012	X
6/27/2013	NP13-41-0000	WECC	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	WECC2012009729	CIP-006-3c	R1	Medium	Minimal	11/14/2011	X
6/27/2013	NP13-41-0000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$7,000	SNOP	NPCC2011007727	CIP-005-1	R2; R2.2	Medium	Moderate	10/31/2011	X
6/27/2013	NP13-41-0000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$7,000	SNOP	NPCC2011007867	CIP-006-1	R1; R1.8	Medium	Minimal	5/31/2011	X
5/30/2013	NP13-38-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$291,000	SA	WECC201102591	CIP-004-1	R4	Lower	Minimal	5/31/2013 (approved completion date)	X

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5/30/2013	NP13-38-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$291,000	SA	WECC201102574	CIP-005-1	R1	Medium	Minimal	5/31/2013 (approved completion date)	X
5/30/2013	NP13-38-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$291,000	SA	WECC201002549	CIP-007-1	R5	Medium	Minimal	5/31/2013 (approved completion date)	X
5/30/2013	NP13-38-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$291,000	SA	WECC201102596	CIP-006-1	R1	Medium	Minimal	5/17/2013 (approved completion date)	X
5/30/2013	NP13-38-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$291,000	SA	WECC201102579	CIP-007-1	R2	Medium	Moderate	5/15/2013	X
5/30/2013	NP13-38-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$291,000	SA	WECC201102580	CIP-007-1	R3	Lower	Moderate	5/15/2013	X
5/30/2013	NP13-38-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$291,000	SA	WECC201102592	CIP-007-1	R6	Medium	Moderate	5/15/2013	X
5/30/2013	NP13-38-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$291,000	SA	WECC201102578	CIP-007-1	R1	Medium	Moderate	5/14/2013	X
5/30/2013	NP13-38-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$291,000	SA	WECC201102581	CIP-003-1	R4	Lower	Minimal	5/9/2013	X
5/30/2013	NP13-38-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$291,000	SA	WECC201102587	CIP-003-1	R5	Lower	Minimal	5/9/2013	X
5/30/2013	NP13-39-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$5,000	SNOP	SERC2011008332	CIP-006-1	R1	Medium	Minimal	12/31/2012	X
5/30/2013	NP13-39-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2013012141	CIP-002-1	R1; R1.1	Lower	Minimal	12/28/2012	X
5/30/2013	NP13-39-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC2013012139	CIP-002-1	R1; R1.1	Lower	Minimal	12/28/2012	X
5/30/2013	NP13-39-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$62,500	SNOP	WECC201102901	CIP-005-1	R2; R2.4; R2.6	Medium	Moderate	12/11/2012	X
5/30/2013	NP13-38-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$291,000	SA	WECC201102550	CIP-007-1	R9	Lower	Minimal	11/27/2012	X
5/30/2013	NP13-38-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$291,000	SA	WECC201102582	CIP-003-1	R3	Lower	Minimal	11/26/2012	X
5/30/2013	NP13-39-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012011278	CIP-005-1	R1; R1.5	Medium	Moderate	11/15/2012	X
5/30/2013	NP13-39-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012011280	CIP-006-1	R1; R1.8	Medium	Moderate	11/15/2012	X
5/30/2013	NP13-39-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$62,500	SNOP	WECC201102904	CIP-007-1	R5	Lower	Minimal	8/31/2012	X
5/30/2013	NP13-39-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$62,500	SNOP	WECC201102905	CIP-007-1	R8	Lower	Minimal	5/30/2012	X
5/30/2013	NP13-39-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$62,500	SNOP	WECC201102903	CIP-006-1	R3	Medium	Moderate	3/22/2012	X
5/30/2013	NP13-38-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$291,000	SA	WECC201102589	CIP-004-1	R2	Medium	Moderate	3/1/2012	X
5/30/2013	NP13-38-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$291,000	SA	WECC201102568	CIP-002-1	R3	High	Minimal	12/15/2011	X
5/30/2013	NP13-39-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$62,500	SNOP	WECC201102902	CIP-006-1	R1.8	Lower	Minimal	12/11/2011	X
5/30/2013	NP13-38-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$291,000	SA	WECC201102556	CIP-009-1	R5	Lower	Minimal	8/26/2011	X
5/30/2013	NP13-34-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$137,000	SA	TRE201100424	CIP-002-1	R3	High	Moderate	8/2/2011	X
5/30/2013	NP13-34-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$137,000	SA	TRE201100425	CIP-002-1	R4	Lower	Moderate	8/2/2011	X
5/30/2013	NP13-34-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$137,000	SA	TRE201100426	CIP-003-1	R1	Medium	Moderate	8/2/2011	X
5/30/2013	NP13-34-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$137,000	SA	TRE201100428	CIP-003-1	R4	Medium	Moderate	8/2/2011	X
5/30/2013	NP13-34-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$137,000	SA	TRE201100429	CIP-003-1	R5	Lower	Moderate	8/2/2011	X
5/30/2013	NP13-34-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$137,000	SA	TRE201100430	CIP-003-1	R6	Lower	Moderate	8/2/2011	X
5/30/2013	NP13-34-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$137,000	SA	TRE201100431	CIP-004-1	R4	Lower	Moderate	8/2/2011	X
5/30/2013	NP13-34-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$137,000	SA	TRE201100432	CIP-004-2	R3	Lower	Minimal	8/2/2011	X
5/30/2013	NP13-34-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$137,000	SA	TRE201100433	CIP-005-1	R1	Medium	Minimal	8/2/2011	X
5/30/2013	NP13-34-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$137,000	SA	TRE201100436	CIP-005-1	R4	Medium	Moderate	8/2/2011	X
5/30/2013	NP13-34-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$137,000	SA	TRE201100437	CIP-005-1	R5	Lower	Moderate	8/2/2011	X
5/30/2013	NP13-34-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$137,000	SA	TRE201100438	CIP-006-1	R1	Medium	Moderate	8/2/2011	X
5/30/2013	NP13-34-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$137,000	SA	TRE201100446	CIP-007-1	R1	Medium	Moderate	8/2/2011	X
5/30/2013	NP13-34-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$137,000	SA	TRE201100447	CIP-007-1	R2	Medium	Moderate	8/2/2011	X
5/30/2013	NP13-34-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$137,000	SA	TRE201100448	CIP-007-1	R3	Lower	Moderate	8/2/2011	X
5/30/2013	NP13-34-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$137,000	SA	TRE201100449	CIP-007-1	R5	Lower	Moderate	8/2/2011	X
5/30/2013	NP13-34-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$137,000	SA	TRE201100452	CIP-007-2a	R7	Lower	Moderate	8/2/2011	X
5/30/2013	NP13-34-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$137,000	SA	TRE201100450	CIP-007-1	R8	Lower	Moderate	8/2/2011	X
5/30/2013	NP13-34-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$137,000	SA	TRE201100451	CIP-007-1	R9	Lower	Moderate	8/2/2011	X
5/30/2013	NP13-34-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$137,000	SA	TRE201100453	CIP-008-1	R1	Lower	Moderate	8/2/2011	X
5/30/2013	NP13-34-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$137,000	SA	TRE201100454	CIP-009-1	R1	Medium	Moderate	8/2/2011	X
5/30/2013	NP13-34-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$137,000	SA	TRE201100455	CIP-009-1	R2	Lower	Moderate	8/2/2011	X
5/30/2013	NP13-34-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$137,000	SA	TRE201100457	CIP-009-1	R4	Lower	Moderate	8/2/2011	X
5/30/2013	NP13-34-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$137,000	SA	TRE201100458	CIP-009-1	R5	Lower	Moderate	8/2/2011	X
5/30/2013	NP13-39-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$62,500	SNOP	WECC201102859	CIP-006-3e	R1.4	Medium	Minimal	7/14/2011	X
5/30/2013	NP13-39-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$62,500	SNOP	WECC201102616	CIP-004-3	R3	Medium	Minimal	5/5/2011	X
5/30/2013	NP13-38-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$291,000	SA	WECC201102569	CIP-003-2	R1.2	Lower	Minimal	2/18/2011	X
5/30/2013	NP13-39-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$5,000	SNOP	SERC201000561	CIP-007-1	R5	Lower	Minimal	10/27/2010	X
5/30/2013	NP13-38-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$291,000	SA	WECC201102837	CIP-007-1	R8	Lower	Minimal	5/21/2010	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$60,000	SNOP	WECC2012010375	CIP-007-1	R7	Lower	Moderate	6/14/2013 (approved completion date)	X
4/30/2013	NP13-33-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	NPCC2012009120	CIP-007-1	R4.1; R4.2	Medium	Minimal	11/15/2012	X
4/30/2013	NP13-33-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	NPCC2012009116	CIP-007-1	R4.1; R4.2	Medium	Minimal	11/15/2012	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$58,000	SNOP	WECC2012010446	CIP-005-1	R2	Medium	Minimal	11/8/2012	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$53,000	SNOP	WECC2012010449	CIP-005-1	R2	Medium	Minimal	11/8/2012	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$53,000	SNOP	WECC2012010450	CIP-005-1	R4	Medium	Moderate	11/8/2012	X

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4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$60,000	SNOP	WECC2012009100	CIP-007-1	R3	Lower	Moderate	10/31/2012	X
4/30/2013	NP13-33-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	NPPC2012009112	CIP-007-1	R2.2	Medium	Minimal	10/1/2012	X
4/30/2013	NP13-33-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	MRO2012009757	CIP-006-1	R1	Medium	Moderate	9/25/2012	X
4/30/2013	NP13-33-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	NPPC2012009117	CIP-007-1	R5.1; R5.1.1; R5.1.3; R5.2; R5.2.1; R5.3; R5.3.3	Lower	Minimal	9/17/2012	X
4/30/2013	NP13-33-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	NPPC2012009121	CIP-007-1	R5.1; R5.1.1; R5.1.3; R5.2; R5.2.1; R5.3; R5.3.3	Lower	Minimal	9/4/2012	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$60,000	SNOP	WECC2012009099	CIP-007-1	R5; R5.1.3; R5.2.1; R5.2.3; R5.3.3	Medium	Moderate	8/31/2012	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$58,000	SNOP	WECC201103037	CIP-006-1	R1; R1.8	Medium	Moderate	8/10/2012	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$53,000	SNOP	WECC201103031	CIP-006-1	R1; R1.8	Medium	Moderate	8/10/2012	X
4/30/2013	NP13-32-000	NCEA	Unidentified Registered Entity	NCRXXXXX	\$40,000	SA	NCEA201200131	CIP-007-1	R1.3	Lower	Minimal	8/7/2012	X
4/30/2013	NP13-33-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	NPPC2012009119	CIP-007-1	R3.1; R3.2	Medium	Minimal	8/6/2012	X
4/30/2013	NP13-33-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	NPPC2012009115	CIP-007-1	R3.1; R3.2	Medium	Minimal	8/6/2012	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$58,000	SNOP	WECC2011008994	CIP-005-1	R1	Medium	Moderate	7/31/2012	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$53,000	SNOP	WECC2011008992	CIP-005-1	R1	Medium	Moderate	7/31/2012	X
4/30/2013	NP13-33-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012010322	CIP-006-1	R1	Medium	Moderate	7/24/2012	X
4/30/2013	NP13-33-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	NPPC2011008440	CIP-007-1	R3.1; R3.2	Medium	Minimal	7/8/2012	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$4,250	SNOP	WECC2011008637	CIP-002-1	R3; R3.2; R3.3	Lower	Minimal	7/3/2012	X
4/30/2013	NP13-33-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	NPPC2012010466	CIP-007-3	R3; R3.1	Lower	Minimal	7/2/2012	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$58,000	SNOP	WECC2012010448	CIP-005-1	R4	Medium	Moderate	6/29/2012	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$58,000	SNOP	WECC2011008991	CIP-006-2	R3	Medium	Minimal	6/27/2012	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$53,000	SNOP	WECC2011008993	CIP-006-2	R3	Medium	Minimal	6/27/2012	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$58,000	SNOP	WECC2011009030	CIP-007-1	R3	Lower	Moderate	6/21/2012	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$53,000	SNOP	WECC2011009032	CIP-007-1	R3	Lower	Moderate	6/21/2012	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$58,000	SNOP	WECC201103038	CIP-007-1	R2	Medium	Moderate	5/31/2012	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$58,000	SNOP	WECC2011008642	CIP-007-1	R8	Medium	Minimal	5/31/2012	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$53,000	SNOP	WECC201103032	CIP-007-1	R2	Medium	Moderate	5/31/2012	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$53,000	SNOP	WECC2011008641	CIP-007-1	R8	Medium	Minimal	5/31/2012	X
4/30/2013	NP13-33-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	NPPC2012009114	CIP-007-1	R2.2	Medium	Minimal	5/31/2012	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$58,000	SNOP	WECC2011008639	CIP-007-1	R5	Lower	Minimal	5/30/2012	X
4/30/2013	NP13-33-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	NPPC2012009113	CIP-005-1	R2.2	Medium	Minimal	4/26/2012	X
4/30/2013	NP13-33-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	NPPC2012009745	CIP-004-3	R4; R4.1	Lower	Minimal	4/2/2012	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$53,000	SNOP	WECC2011008640	CIP-007-1	R5	Lower	Minimal	3/30/2012	X
4/30/2013	NP13-33-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	MRO201100439	CIP-007-1	R5.3; R5.3.2; R5.3.3	Lower	Moderate	3/26/2012	X
4/30/2013	NP13-33-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	MRO2012010180	CIP-007-1	R5.3; R5.3.3	Lower	Minimal	3/26/2012	X
4/30/2013	NP13-33-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	NPPC2012009937	CIP-007-3	R5; R5.3.3	Lower	Minimal	3/19/2012	X
4/30/2013	NP13-33-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	NPPC2012009118	CIP-007-1	R6.5	Lower	Minimal	2/29/2012	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$58,000	SNOP	WECC201103034	CIP-003-1	R4	Medium	Moderate	12/29/2011	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$53,000	SNOP	WECC201103028	CIP-003-1	R4	Medium	Minimal	12/29/2011	X
4/30/2013	NP13-33-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	MRO2012009156	CIP-006-1	R1; R1.1	Medium	Moderate	12/22/2011	X
4/30/2013	NP13-33-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	NPPC2011008438	CIP-005-1	R2.2	Medium	Minimal	12/22/2011	X
4/30/2013	NP13-33-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	NPPC2011008439	CIP-007-1	R2.2	Medium	Minimal	12/22/2011	X
4/30/2013	NP13-33-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	NPPC2012009122	CIP-007-1	R6.5	Lower	Minimal	12/19/2011	X
4/30/2013	NP13-33-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	NPPC2012009111	CIP-005-1	R2.2	Medium	Minimal	12/8/2011	X
4/30/2013	NP13-33-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	NPPC2011008476	CIP-006-3c	R5	Medium	Minimal	11/29/2011	X
4/30/2013	NP13-33-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	NPPC2011008334	CIP-005-1	R2.2	Medium	Minimal	11/2/2011	X
4/30/2013	NP13-33-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	NPPC2011008340	CIP-007-1	R2.2	Medium	Minimal	11/2/2011	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$58,000	SNOP	WECC2011008638	CIP-004-2	R3	Medium	Minimal	10/31/2011	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$58,000	SNOP	WECC201103025	CIP-008-1	R1; R1.4; R1.5; R1.6	Lower	Minimal	10/31/2011	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$53,000	SNOP	WECC201103026	CIP-008-1	R1; R1.4; R1.5; R1.6	Lower	Minimal	10/31/2011	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$58,000	SNOP	WECC201103033	CIP-003-1	R1	Lower	Minimal	10/11/2011	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$53,000	SNOP	WECC201103027	CIP-003-1	R1; R1.1	Lower	Minimal	10/11/2011	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$58,000	SNOP	WECC201103035	CIP-004-1	R1	Lower	Minimal	9/22/2010	X
4/30/2013	NP13-33-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$53,000	SNOP	WECC201103029	CIP-004-1	R1	Lower	Minimal	9/22/2010	X
4/30/2013	NP13-32-000	NCEA	Unidentified Registered Entity	NCRXXXXX	\$40,000	SA	NCEA201200129	CIP-007-1	R1.1	Medium	Moderate	4/29/2010	X

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4/30/2013	NP13-32-000	NCEA	Unidentified Registered Entity	NCRXXXXX	\$40,000	SA	NCEA201200130	CIP-007-1	R1.2	Lower	Moderate	4/29/2010	X
3/27/2013	NP13-30-000	RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$120,000	SA	RFC2011001153	CIP-006-1	R1	Medium	Moderate	4/30/2013 (approved completion date)	X
3/27/2013	NP13-30-000	RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$120,000	SA	RFC2011001170	CIP-006-1	R1	Medium	Moderate	4/30/2013 (approved completion date)	X
3/27/2013	NP13-30-000	RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$120,000	SA	RFC2011001162	CIP-006-1	R1	Medium	Moderate	4/30/2013 (approved completion date)	X
3/27/2013	NP13-30-000	RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$120,000	SA	RFC2011001172	CIP-007-1	R5	Medium	Minimal	4/1/2013 (approved completion date)	X
3/27/2013	NP13-30-000	RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$120,000	SA	RFC2011001164	CIP-007-1	R5	Medium	Minimal	4/1/2013 (approved completion date)	X
3/27/2013	NP13-30-000	RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$120,000	SA	RFC2011001155	CIP-007-1	R5	Medium	Minimal	4/1/2013 (approved completion date)	X
3/27/2013	NP13-29-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$32,000	SNOP	FRCC2011008470	CIP-005-1	R1; R1.5	Medium	Moderate	3/31/2013 (approved completion date)	X
3/27/2013	NP13-29-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$32,000	SNOP	FRCC2011008521	CIP-005-1	R2; R2.2	Medium	Minimal	12/29/2013 (approved completion date)	X
3/27/2013	NP13-29-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$32,000	SNOP	FRCC2011008524	CIP-007-1	R8; R8.2; R8.4	Medium	Minimal	11/1/2013 (approved completion date)	X
3/27/2013	NP13-29-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012010779	CIP-002-3	R3	High	Moderate	2/28/2013	X
3/27/2013	NP13-29-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$48,000	SNOP	SERC2012009896	CIP-007-1	R8; R8.2	Lower	Moderate	12/12/2012	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	RFC2011001079	CIP-005-3a	R4	Medium	Moderate	11/30/2012	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	RFC2011001082	CIP-007-3	R3	Lower	Moderate	11/30/2012	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	TRE201000205	CIP-007-3	R5	Medium	Moderate	11/30/2012	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	SPP201000447	CIP-007-3	R5	Medium	Moderate	11/30/2012	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	RFC201000690	CIP-007-3	R5	Medium	Moderate	11/30/2012	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	TRE201100377	CIP-007-3	R3	Lower	Moderate	11/30/2012	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	SPP201100616	CIP-007-3	R3	Lower	Moderate	11/30/2012	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	TRE201100376	CIP-007-3	R2	Medium	Moderate	11/30/2012	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	SPP201100615	CIP-007-3	R2	Medium	Moderate	11/30/2012	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	RFC2011001081	CIP-007-3	R2	Medium	Moderate	11/30/2012	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	SPP201100613	CIP-005-3a	R4	Medium	Moderate	11/30/2012	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	TRE201100371	CIP-005-3a	R2	Medium	Minimal	11/30/2012	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	SPP201100612	CIP-005-3a	R2	Medium	Minimal	11/30/2012	X

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3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	TRE201100372	CIP-005-3a	R4	Medium	Moderate	11/30/2012	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	RFC2011001078	CIP-005-3a	R2	Medium	Minimal	11/30/2012	X
3/27/2013	NP13-29-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$48,000	SNOP	SERC2012009888	CIP-005-1	R2; R2.1; R2.2	Medium	Moderate	11/27/2012	X
3/27/2013	NP13-29-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$48,000	SNOP	SERC2012009887	CIP-005-1	R1; R1.4; R1.5	Medium	Moderate	11/26/2012	X
3/27/2013	NP13-29-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$48,000	SNOP	SERC2012009891	CIP-006-1	R1; R1.1; R1.2; R1.8	Medium	Moderate	11/26/2012	X
3/27/2013	NP13-29-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012009916	CIP-007-3	R6	Medium	Moderate	11/16/2012	X
3/27/2013	NP13-29-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012009917	CIP-005-3	R3	Medium	Moderate	11/16/2012	X
3/27/2013	NP13-29-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$48,000	SNOP	SERC2012009893	CIP-007-1	R1	Medium	Moderate	10/15/2012	X
3/27/2013	NP13-29-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$48,000	SNOP	SERC2012009894	CIP-007-1	R5; R5.2; R5.3	Lower	Moderate	10/15/2012	X
3/27/2013	NP13-29-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$48,000	SNOP	SERC2012009895	CIP-007-1	R7	Lower	Minimal	10/15/2012	X
3/27/2013	NP13-29-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$32,000	SNOP	FRCC2011008523	CIP-005-1	R4.2	Medium	Moderate	8/7/2012	X
3/27/2013	NP13-30-000	RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$120,000	SA	RFC2011001158	CIP-005-1	R1	Medium	Moderate	8/2/2012	X
3/27/2013	NP13-30-000	RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$120,000	SA	RFC2011001173	CIP-007-1	R9	Lower	Moderate	8/2/2012	X
3/27/2013	NP13-30-000	RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$120,000	SA	RFC2011001149	CIP-005-1	R1	Medium	Moderate	8/2/2012	X
3/27/2013	NP13-30-000	RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$120,000	SA	RFC2011001166	CIP-005-1	R1	Medium	Moderate	8/2/2012	X
3/27/2013	NP13-30-000	RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$120,000	SA	RFC2011001165	CIP-007-1	R9	Lower	Moderate	8/2/2012	X
3/27/2013	NP13-30-000	RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$120,000	SA	RFC2011001156	CIP-007-1	R9	Lower	Moderate	8/2/2012	X
3/27/2013	NP13-30-000	RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$120,000	SA	RFC2011001171	CIP-007-1	R3	Lower	Moderate	7/23/2012	X
3/27/2013	NP13-30-000	RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$120,000	SA	RFC2011001163	CIP-007-1	R3	Lower	Moderate	7/23/2012	X
3/27/2013	NP13-30-000	RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$120,000	SA	RFC2011001154	CIP-007-1	R3	Lower	Moderate	7/23/2012	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	SPP201100518	CIP-007-3	R6	Lower	Moderate	6/19/2012	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	RFC201100769	CIP-007-3	R6	Lower	Moderate	6/19/2012	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	TRE201100291	CIP-007-3	R6	Lower	Moderate	6/19/2012	X
3/27/2013	NP13-30-000	RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$120,000	SA	RFC2011001150	CIP-005-1	R2	Medium	Moderate	6/13/2012	X
3/27/2013	NP13-30-000	RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$120,000	SA	RFC2011001159	CIP-005-1	R2	Medium	Moderate	6/13/2012	X
3/27/2013	NP13-30-000	RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$120,000	SA	RFC2011001167	CIP-005-1	R2	Medium	Moderate	6/13/2012	X
3/27/2013	NP13-30-000	RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$120,000	SA	RFC2011001160	CIP-005-1	R4	Medium	Moderate	6/13/2012	X
3/27/2013	NP13-29-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$48,000	SNOP	SERC2012009885	CIP-002-1	R3; R3.2	High	Minimal	5/30/2012	X

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3/27/2013	NP13-29-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$48,000	SNOP	SERC2012009890	CIP-006-2a	R1; R1.1.	Medium	Minimal	5/30/2012	X
3/27/2013	NP13-29-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$48,000	SNOP	SERC2012009886	CIP-003-1	R6	Lower	Moderate	5/29/2012	X
3/27/2013	NP13-30-000	RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$120,000	SA	RFC2011001148	CIP-004-1	R2	Medium	Moderate	3/26/2012	X
3/27/2013	NP13-30-000	RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$120,000	SA	RFC2011001157	CIP-004-1	R2	Medium	Moderate	3/26/2012	X
3/27/2013	NP13-29-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$48,000	SNOP	SERC2012009892	CIP-006-1	R3; R3.1	Medium	Minimal	3/1/2012	X
3/27/2013	NP13-29-000	RF, SPP RE, Texas RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$0	SNOP	RFC201100932 SPP201100587 TRE201100370	CIP-005-3a	R1	Medium	Minimal	2/29/2012	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	TRE201100373	CIP-006-3c	R1	Medium	Moderate	2/15/2012	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	SPP201100589	CIP-006-3c	R1	Medium	Moderate	2/15/2012	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	RFC201100933	CIP-006-3c	R1	Medium	Moderate	2/15/2012	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	TRE201100375	CIP-006-3c	R6	Lower	Moderate	1/1/2012	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	SPP201100595	CIP-006-3c	R6	Lower	Moderate	1/1/2012	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	RFC201100935	CIP-006-3c	R6	Lower	Moderate	1/1/2012	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	RFC201100936	CIP-007-3	R8	Lower	Moderate	12/12/2011	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	TRE201100379	CIP-007-3	R8	Lower	Moderate	12/12/2011	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	SPP201100591	CIP-007-3	R8	Lower	Moderate	12/12/2011	X
3/27/2013	NP13-29-000	RF, SPP RE, Texas RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$0	SNOP	RFC2011001088 SPP201100669 TRE201100463	CIP-007-3	R1.7	Medium	Minimal	11/15/2011	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	TRE201100369	CIP-004-3	R4	Lower	Minimal	10/21/2011	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	SPP201100594	CIP-004-3	R4	Lower	Minimal	10/21/2011	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	RFC201100948	CIP-004-3	R4	Lower	Minimal	10/21/2011	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	RFC201100931	CIP-004-3	R3	Lower	Moderate	9/30/2011	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	TRE201100368	CIP-004-3	R3	Lower	Moderate	9/30/2011	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	SPP201100586	CIP-004-3	R3	Lower	Moderate	9/30/2011	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	TRE201100374	CIP-006-3c	R2	Medium	Moderate	9/23/2011	X
3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	SPP201100588	CIP-006-3c	R2	Medium	Moderate	9/23/2011	X

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3/27/2013	NP13-28-000	RF, Texas RE, SPP RE	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$90,000	SA	RFC201100934	CIP-006-3c	R2	Medium	Moderate	9/23/2011	X
3/27/2013	NP13-30-000	RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$120,000	SA	RFC2011001152	CIP-005-1	R5	Lower	Minimal	8/23/2011	X
3/27/2013	NP13-30-000	RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$120,000	SA	RFC2011001161	CIP-005-1	R5	Lower	Minimal	8/23/2011	X
3/27/2013	NP13-30-000	RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$120,000	SA	RFC2011001169	CIP-005-1	R5	Lower	Minimal	8/23/2011	X
3/27/2013	NP13-29-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$32,000	SNOP	FRCC2011007853	CIP-002-1	R3; R3.3	High	Moderate	7/7/2011	X
2/28/2013	NP13-27-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$35,000	SNOP	WECC2012009096	CIP-006-1	R1; R1.8	Medium	Minimal	11/29/2012	X
2/28/2013	NP13-27-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$35,000	SNOP	WECC2012009095	CIP-007-1	R3	Lower	Minimal	9/28/2012	X
2/28/2013	NP13-24-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$151,500	SA	WECC201102712	CIP-006-1	R3.1	Medium	Moderate	7/24/2012	X
2/28/2013	NP13-27-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	MRO201100301	CIP-006-1	R1; R1.8	Medium	Moderate	6/29/2012	X
2/28/2013	NP13-27-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$8,000	SNOP	SPP2012009591	CIP-006-1	R1; R1.8	Medium	Minimal	6/19/2012	X
2/28/2013	NP13-27-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$8,000	SNOP	SPP201100661	CIP-003-1	R6	Lower	Minimal	3/29/2012	X
2/28/2013	NP13-27-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$8,000	SNOP	SPP201100663	CIP-007-1	R3	Lower	Minimal	2/15/2012	X
2/28/2013	NP13-27-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	MRO201100297	CIP-005-1	R1; R1.5	Medium	Minimal	1/31/2012	X
2/28/2013	NP13-27-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	MRO201100304	CIP-007-1	R3	Lower	Minimal	1/31/2012	X
2/28/2013	NP13-27-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	MRO201100298	CIP-005-1	R2; R2.2; R2.6	Medium	Minimal	1/1/2012	X
2/28/2013	NP13-27-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	MRO201100303	CIP-007-1	R2; R2.1; R2.2	Medium	Minimal	1/1/2012	X
2/28/2013	NP13-27-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SPP201100668	CIP-006-3c	R5	Medium	Moderate	6/9/2011	X
2/28/2013	NP13-24-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$151,500	SA	WECC201102798	CIP-006-1	R4	Lower	Minimal	3/1/2011	X
2/28/2013	NP13-24-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$151,500	SA	WECC201102651	CIP-006-1	R3	Medium	Moderate	2/2/2011	X
2/28/2013	NP13-24-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$151,500	SA	WECC201102660	CIP-004-3	R3.2	Lower	Minimal	12/29/2010	X
2/28/2013	NP13-24-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$151,500	SA	WECC201002653	CIP-006-1	R1.6	Medium	Minimal	11/15/2010	X
2/28/2013	NP13-24-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$151,500	SA	WECC201102671	CIP-007-1	R1	Medium	Moderate	9/14/2010	X
2/28/2013	NP13-24-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$151,500	SA	WECC201102799	CIP-007-2	R6	Medium	Moderate	9/14/2010	X
2/28/2013	NP13-24-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$151,500	SA	WECC201002672	CIP-007-1	R3	Lower	Moderate	8/13/2010	X
2/28/2013	NP13-24-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$151,500	SA	WECC201002673	CIP-007-1	R5.3.2	Lower	Minimal	8/13/2010	X
1/31/2013	NP13-22-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$115,000	SA	WECC201102687	CIP-007-1	1	Medium			X
1/31/2013	NP13-22-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$115,000	SA	WECC201102689	CIP-006-1	1.8	Lower			X
1/31/2013	NP13-22-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$115,000	SA	WECC201102693	CIP-005-1	1	Medium			X
1/31/2013	NP13-22-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$115,000	SA	WECC201102691	CIP-007-1	3.1	Lower			X
1/31/2013	NP13-23-000	RF	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	RFC2011001001	CIP-003-3	R6	Lower			X
1/31/2013	NP13-23-000	RF	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	RFC2011001070	CIP-003-3	R6	Lower			X
1/31/2013	NP13-23-000	RF	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	RFC2011001138	CIP-004-2; CIP-004-3	R2.1	Medium			X
1/31/2013	NP13-23-000	RF	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	RFC2011001139	CIP-004-2; CIP-004-3	R3	Medium			X
1/31/2013	NP13-23-000	RF	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	RFC2011001140	CIP-005-2; CIP-005-3	R4.3; R4.4	Medium			X
1/31/2013	NP13-23-000	RF	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	RFC2011001144	CIP-007-2a; CIP-007-3	R5.1; R5.1.3; R5.2; R5.3.2	Lower/ Medium			X
1/31/2013	NP13-23-000	RF	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	RFC2011001146	CIP-007-2a; CIP-007-3	R8.2; R8.3	Medium			X
1/31/2013	NP13-23-000	RF	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	RFC2011001147	CIP-008-2; CIP-008-3	R1.1; R1.2	Lower			X
1/31/2013	NP13-23-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	WECC201102933	CIP-002-3	R1; R1.1	Medium			X
1/31/2013	NP13-23-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	WECC2012010776	CIP-005-3a	R1; R1.5	Medium			X
1/31/2013	NP13-23-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$8,000	SNOP	FRCC2011007586	CIP-007-1	R4; R4.1	Medium			X
1/31/2013	NP13-23-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$8,000	SNOP	FRCC2011007803	CIP-005-1	R2; R2.1; R2.2	Medium			X
1/31/2013	NP13-23-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2011001125	CIP-007-2a	R6; R6.2; R6.3; R6.4; R6.5	Lower			X
1/31/2013	NP13-23-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012001321	CIP-006-3c	R2	Medium			X
1/31/2013	NP13-23-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012010101	CIP-005-3a	R5	Lower			X
1/31/2013	NP13-23-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012010419	CIP-005-2a	R3	Medium			X
1/31/2013	NP13-23-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC201100866	CIP-006-3c	R2.2	Medium			X
1/31/2013	NP13-23-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC201100867	CIP-006-3c	R2.2	Medium			X

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1/31/2013	NP13-23-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC201100868	CIP-006-3c	R2.2	Medium			X
1/31/2013	NP13-23-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC201100869	CIP-006-3c	R2.2	Medium			X
1/31/2013	NP13-23-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC201100870	CIP-006-3c	R2.2	Medium			X
1/31/2013	NP13-23-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC201100871	CIP-006-3c	R2.2	Medium			X
1/31/2013	NP13-23-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012009861	CIP-006-3c	R2.2	Medium			X
1/31/2013	NP13-23-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012001323	CIP-007-3	R6	Medium			X
1/31/2013	NP13-23-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012009852	CIP-004-3	R4	Lower			X
1/31/2013	NP13-23-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012009907	CIP-004-3	R4	Lower			X
1/31/2013	NP13-23-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012009859	CIP-006-3c	R1	Medium			X
1/31/2013	NP13-23-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2012009860	CIP-006-3c	R1	Medium			X
12/31/2012	NP13-19-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$950,000	SA	SERC201000483	CIP-005-1	R4	Medium			X
12/31/2012	NP13-19-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$950,000	SA	SERC200900297	CIP-002-1	R3	Lower			X
12/31/2012	NP13-19-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$950,000	SA	SERC200900357	CIP-006-1	R1	Medium			X
12/31/2012	NP13-19-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$950,000	SA	SERC200900421	CIP-005-1	R3	Medium			X
12/31/2012	NP13-19-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$950,000	SA	SERC200900315	CIP-007-1	R5	Lower			X
12/31/2012	NP13-19-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$950,000	SA	SERC201000480	CIP-005-1	R2	Medium			X
12/31/2012	NP13-19-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$950,000	SA	SERC200900290	CIP-005-1	R1	Medium			X
12/31/2012	NP13-19-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$950,000	SA	SERC200900283	CIP-004-1	R4	Lower			X
12/31/2012	NP13-19-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$950,000	SA	SERC201000515	CIP-003-1	R1.2	Lower			X
12/31/2012	NP13-19-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$950,000	SA	SERC200900393	CIP-006-1	R3	Lower			X
12/31/2012	NP13-19-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$950,000	SA	SERC200900320	CIP-002-1	R2	High			X
12/31/2012	NP13-19-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$950,000	SA	SERC200900321	CIP-004-1	R2	Medium			X
12/31/2012	NP13-19-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$950,000	SA	SERC201000479	CIP-007-1	R8	Lower			X
12/31/2012	NP13-19-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$950,000	SA	SERC201000627	CIP-006-1	R4	Medium			X
12/31/2012	NP13-19-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$950,000	SA	SERC200900313	CIP-007-1	R3	Lower			X
12/31/2012	NP13-19-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$950,000	SA	SERC200900316	CIP-009-1	R1	Medium			X
12/31/2012	NP13-19-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$950,000	SA	SERC201000485	CIP-007-1	R7	Lower			X
12/31/2012	NP13-19-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$950,000	SA	SERC201000577	CIP-007-1	R6	Lower			X
12/31/2012	NP13-19-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$950,000	SA	SERC200900314	CIP-007-2a	R6	Lower			X
12/31/2012	NP13-19-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$950,000	SA	SERC201000688	CIP-007-1	R4	Medium			X
12/31/2012	NP13-19-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$950,000	SA	SERC200900312	CIP-007-1	R2	Medium			X
12/31/2012	NP13-19-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$950,000	SA	SERC200900310	CIP-007-1	R1	Medium			X
12/31/2012	NP13-19-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$950,000	SA	SERC201000484	CIP-006-1	R6	Medium			X
12/31/2012	NP13-19-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$950,000	SA	SERC201000486	CIP-006-1	R5	Lower			X
12/31/2012	NP13-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$207,000	SA	WECC201002311	CIP-007-1	R3	Lower			X
12/31/2012	NP13-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$207,000	SA	WECC201002305	CIP-004-1	R2; R2.1; R2.2; R2.3	Medium			X
12/31/2012	NP13-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$207,000	SA	WECC201002302	CIP-002-1	R3	High			X
12/31/2012	NP13-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$207,000	SA	WECC201002306	CIP-004-1	R4	Medium			X
12/31/2012	NP13-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$207,000	SA	WECC201002307	CIP-005-1	R1	Medium			X
12/31/2012	NP13-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$207,000	SA	WECC201002310	CIP-007-1	R1	Medium			X
12/31/2012	NP13-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$207,000	SA	WECC201002301	CIP-002-1	R1	Medium			X
12/31/2012	NP13-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$207,000	SA	WECC201002308	CIP-006-2	R1	Medium			X
12/31/2012	NP13-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$207,000	SA	WECC201002303	CIP-003-1	R1; R1.2	Lower			X
12/31/2012	NP13-18-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$153,000	SA	SPP2012009592	CIP-007-3	R4.1; R4.2	Medium			X
12/31/2012	NP13-18-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$153,000	SA	SPP2012009760	CIP-004-3	R4.1; R4.2	Lower			X
12/31/2012	NP13-18-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$153,000	SA	SPP2012009983	CIP-004-3	R3	Medium			X
12/31/2012	NP13-18-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$153,000	SA	SPP201100610	CIP-005-1	R2.2; R2.6	Medium, Lower			X
12/31/2012	NP13-18-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$153,000	SA	SPP201100609	CIP-007-1	R5.2; R5.2.3; R5.3.3	Lower, Medium, Medium			X
12/31/2012	NP13-18-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$153,000	SA	SPP201100608	CIP-007-1	R3.2	Lower			X
12/31/2012	NP13-18-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$153,000	SA	SPP201100528	CIP-007-1	R9	Lower			X
12/31/2012	NP13-18-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$153,000	SA	SPP2012009547	CIP-004-3	R2.1	Medium			X
12/31/2012	NP13-18-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$153,000	SA	SPP201100607	CIP-006-1	R1.1; R1.8	Medium, Lower			X
12/31/2012	NP13-18-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$153,000	SA	SPP201000425	CIP-003-1	R5.2	Lower			X
12/31/2012	NP13-18-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$153,000	SA	SPP201000428	CIP-007-1	R4.2	Lower			X
12/31/2012	NP13-18-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$153,000	SA	SPP201100568	CIP-004-3	R4.1; R4.2	Lower			X
12/31/2012	NP13-18-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$153,000	SA	SPP201100569	CIP-005-1	R1	Medium			X
12/31/2012	NP13-18-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$153,000	SA	SPP201100604	CIP-002-1	R2	Lower			X
12/31/2012	NP13-18-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$153,000	SA	SPP201100605	CIP-005-1	R4.2	Medium			X
12/31/2012	NP13-18-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$153,000	SA	SPP201000426	CIP-003-1	R6	Lower			X
12/31/2012	NP13-11-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$107,000	SA	SPP201100600	CIP-006-1	R1.1; R1.8	Medium; Lower			X
12/31/2012	NP13-11-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$107,000	SA	SPP2012009984	CIP-004-3	R3	Medium			X
12/31/2012	NP13-11-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$107,000	SA	SPP2012009762	CIP-004-3	R4.1; R4.2	Lower			X
12/31/2012	NP13-11-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$107,000	SA	SPP2012009554	CIP-004-3	R2.1	Medium			X
12/31/2012	NP13-11-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$107,000	SA	SPP201100603	CIP-007-1	R6.5	Lower			X

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12/31/2012	NP13-11-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$107,000	SA	SPP201100602	CIP-007-1	R5.1.1; R5.2; R5.2.3; R5.3.3	Lower; Lower; Medium; Medium			X
12/31/2012	NP13-11-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$107,000	SA	SPP201100601	CIP-007-1	R3.2	Lower			X
12/31/2012	NP13-11-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$107,000	SA	SPP201100598	CIP-005-1	R4.2	Medium			X
12/31/2012	NP13-11-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$107,000	SA	SPP201100596	CIP-002-1	R2	Lower			X
12/31/2012	NP13-11-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$107,000	SA	SPP201100558	CIP-005-1	R1	Medium			X
12/31/2012	NP13-11-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$107,000	SA	SPP201100557	CIP-004-3	R4.2	Lower			X
12/31/2012	NP13-11-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$107,000	SA	SPP201100536	CIP-007-3	R1.1	Medium			X
12/31/2012	NP13-11-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$107,000	SA	SPP2012010535	CIP-007-3	R5.1.1	Lower			X
12/31/2012	NP13-11-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$107,000	SA	SPP201000421	CIP-003-1	R5.2	Lower			X
12/31/2012	NP13-11-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$107,000	SA	SPP201100526	CIP-007-3	R9	Lower			X
12/31/2012	NP13-11-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$107,000	SA	SPP201100535	CIP003-3	R6	Lower			X
12/31/2012	NP13-17-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$80,000	SA	RFC201100801	CIP-007-3	R3	Lower			X
12/31/2012	NP13-17-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$80,000	SA	RFC201100809	CIP-007-3	R2	Medium			X
12/31/2012	NP13-17-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$80,000	SA	RFC201100813	CIP-007-3	R8	Lower			X
12/31/2012	NP13-17-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$80,000	SA	RFC201100804	CIP-007-3	R8	Lower			X
12/31/2012	NP13-17-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$80,000	SA	RFC201100810	CIP-007-3	R3	Lower			X
12/31/2012	NP13-17-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$80,000	SA	RFC201100791	CIP-007-3	R3	Lower			X
12/31/2012	NP13-17-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$80,000	SA	RFC201100785	CIP-005-3	R1; R1.5	Medium			X
12/31/2012	NP13-17-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$80,000	SA	RFC201100795	CIP-005-3	R1; R1.5	Medium			X
12/31/2012	NP13-17-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$80,000	SA	RFC201100805	CIP-005-3	R1; R1.5	Medium			X
12/31/2012	NP13-17-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$80,000	SA	RFC201100786	CIP-005-3	R2	Medium			X
12/31/2012	NP13-17-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$80,000	SA	RFC201100808	CIP-006-3	R2; R2.2	Medium			X
12/31/2012	NP13-17-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$80,000	SA	RFC201100794	CIP-007-3	R8	Lower			X
12/31/2012	NP13-17-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$80,000	SA	RFC201100798	CIP-006-3	R2; R2.2	Medium			X
12/31/2012	NP13-17-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$80,000	SA	RFC201100796	CIP-005-3	R2	Medium			X
12/31/2012	NP13-17-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$80,000	SA	RFC201100790	CIP-007-3	R2	Medium			X
12/31/2012	NP13-17-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$80,000	SA	RFC201100788	CIP-006-3	R2; R2.2	Medium			X
12/31/2012	NP13-17-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$80,000	SA	RFC201100800	CIP-007-3	R2	Medium			X
12/31/2012	NP13-17-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$80,000	SA	RFC201100807	CIP-005-2	R4; R4.2	Medium			X

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12/31/2012	NP13-17-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$80,000	SA	RFC201100797	CIP-005-2	R4; R4.2	Medium			X
12/31/2012	NP13-17-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$80,000	SA	RFC201100787	CIP-005-2	R4; R4.2	Medium			X
12/31/2012	NP13-17-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$80,000	SA	RFC201100806	CIP-005-3	R2	Medium			X
12/31/2012	NP13-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	RFC201000657	CIP-002-1	R3.1	Lower			X
12/31/2012	NP13-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	RFC201000444	CIP-005-1	R1.6	Lower			X
12/31/2012	NP13-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	RFC201000445	CIP-005-1	R2.2	Medium			X
12/31/2012	NP13-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	RFC201000446	CIP-005-1	R4.2	Medium			X
12/31/2012	NP13-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	RFC201000447	CIP-007-1	R2.1	Medium			X
12/31/2012	NP13-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	RFC201000448	CIP-007-1	R8.2	Lower			X
12/31/2012	NP13-12-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$51,000	SNOP	TRE201000140	CIP-004-2	R2	Lower			X
12/31/2012	NP13-12-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$51,000	SNOP	TRE201000141	CIP-004-1	R3	Lower			X
12/31/2012	NP13-12-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$51,000	SNOP	TRE201000144	CIP-006-2	R1.1	Medium			X
12/31/2012	NP13-12-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$51,000	SNOP	TRE201000143	CIP-006-2	R2	Medium			X
12/31/2012	NP13-12-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$51,000	SNOP	TRE201000146	CIP-009-1	R1.1	Medium			X
12/31/2012	NP13-12-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$33,000	SNOP	FRCC201100435	CIP-006-1	R1.8	Lower			X
12/31/2012	NP13-12-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$33,000	SNOP	FRCC201100436	CIP-007-1	R2; R2.1; R2.2	Medium			X
12/31/2012	NP13-12-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$33,000	SNOP	FRCC2011007516	CIP-005-1	R2; R2.2; R2.4; R2.6	Medium			X
12/31/2012	NP13-12-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$33,000	SNOP	FRCC2011007518	CIP-005-1	R4; R4.2; R4.3; R4.4	Medium			X
12/31/2012	NP13-12-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$33,000	SNOP	FRCC2011007519	CIP-007-1	R5; R5.1.3; R5.2.2	Medium			X
12/31/2012	NP13-12-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$33,000	SNOP	FRCC2011007523	CIP-007-1	R3; R3.1	Lower			X
12/31/2012	NP13-12-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$33,000	SNOP	FRCC2011007515	CIP-005-1	R1	Medium			X
12/31/2012	NP13-12-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$33,000	SNOP	FRCC2011007517	CIP-005-1	R3; R3.2	Medium			X
12/31/2012	NP13-12-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$20,000	SNOP	MRO201100395	CIP-007-3	R3; R3.1	Lower			X
12/31/2012	NP13-12-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$20,000	SNOP	MRO2012009816	CIP-007-3	R6; R6.4	Lower			X
12/31/2012	NP13-12-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$20,000	SNOP	MRO2012010185	CIP-004-2	R3; R3.1	Lower			X
12/31/2012	NP13-12-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	SPP201000317	CIP-002-1	R3	High			X
12/31/2012	NP13-12-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	SPP201000318	CIP-003-1	R1.1; R1.3	Medium			X
12/31/2012	NP13-12-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	SPP201000319	CIP-004-1	R2.1; R2.2.1; R2.3	Medium			X
12/31/2012	NP13-12-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	SPP201000322	CIP-007-1	R1	Medium			X
12/31/2012	NP13-12-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	SPP201000323	CIP-008-1	R1	Lower			X
12/31/2012	NP13-12-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	SPP201000324	CIP-009-1	R2	Lower			X
12/31/2012	NP13-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	WECC2012010516	CIP-002-1	R3	High			X
12/31/2012	NP13-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	RFC201100885	CIP-005-1	R1; R1.5	Medium			X
12/31/2012	NP13-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	RFC201100887	CIP-007-3	R1	Medium			X
12/31/2012	NP13-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	RFC201100888	CIP-007-3	R2; R2.1	Medium			X
12/31/2012	NP13-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	RFC2011001206	CIP-006-1	R1.8	Medium			X
12/31/2012	NP13-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	RFC2011001207	CIP-007-1	R3	Lower			X
12/31/2012	NP13-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	RFC2011001208	CIP-007-3	R4; R4.2	Medium			X
12/31/2012	NP13-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$5,000	SNOP	WECC2012010392	CIP-003-3	R6	Lower			X
11/30/2012	NP13-6-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$62,500	NOCV	WECC201102890	CIP-007-1	R6	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100957	CIP-002-1	R1	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100958	CIP-002-1	R2	High			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100959	CIP-002-1	R3	High			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100960	CIP-002-1	R4	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100961	CIP-003-1	R1	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100962	CIP-003-1	R5	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100963	CIP-003-1	R6	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001274	CIP-003-1	R6	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001275	CIP-003-1	R6	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100964	CIP-004-1	R1	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001276	CIP-004-1	R1	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001277	CIP-004-1	R1	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100965	CIP-004-2	R2	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2012010075	CIP-004-2	R2	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2012010076	CIP-004-2	R2	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100966	CIP-004-1	R3	Lower			X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$) (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.)	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001278	CIP-004-1	R3	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001279	CIP-004-1	R3	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001280	CIP-004-1	R4	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001281	CIP-004-1	R4	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001282	CIP-004-1	R4	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100967	CIP-005-1	R1	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001178	CIP-005-1	R1	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001179	CIP-005-1	R1	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100968	CIP-005-1	R2	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001283	CIP-005-1	R2	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001284	CIP-005-1	R2	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100969	CIP-005-1	R3	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100970	CIP-005-1	R4	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100971	CIP-005-1	R5	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001285	CIP-005-1	R5	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001286	CIP-005-1	R5	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100972	CIP-006-1	R1	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001287	CIP-006-1	R1	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001288	CIP-006-1	R1	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100973	CIP-007-1	R1	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001289	CIP-007-1	R1	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001290	CIP-007-1	R1	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201000561	CIP-007-1	R2	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201000582	CIP-007-1	R2	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201000540	CIP-007-1	R2	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2012009913	CIP-007-1	R2	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2012009914	CIP-007-1	R2	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2012009915	CIP-007-1	R2	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100974	CIP-007-1	R3	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001291	CIP-007-1	R3	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001292	CIP-007-1	R3	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100975	CIP-007-1	R3	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100976	CIP-007-1	R4	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001293	CIP-007-1	R4	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001294	CIP-007-1	R4	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100977	CIP-007-1	R5	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001180	CIP-007-1	R5	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001181	CIP-007-1	R5	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100978	CIP-007-1	R5	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100979	CIP-007-1	R6	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001295	CIP-007-1	R6	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001296	CIP-007-1	R6	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100981	CIP-007-1	R8	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100982	CIP-008-1	R1	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001182	CIP-008-1	R1	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001183	CIP-008-1	R1	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100983	CIP-009-1	R1	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001184	CIP-009-1	R1	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001185	CIP-009-1	R1	Medium			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100984	CIP-009-1	R2	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100985	CIP-009-1	R3	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100986	CIP-009-1	R4	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001299	CIP-009-1	R4	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001300	CIP-009-1	R4	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC201100987	CIP-009-1	R5	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001186	CIP-009-1	R5	Lower			X
10/31/2012	NP13-4-000	RF	Unidentified Registered Entity	NCRXXXXX	\$725,000	SA	RFC2011001187	CIP-009-1	R5	Lower			X
10/31/2012	NP13-1-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC201102827	CIP-002-1	R3	High			X
10/31/2012	NP13-1-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC201102715	CIP-003-1	R6	Lower			X
10/31/2012	NP13-1-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC201002389	CIP-004-1	R1	Lower			X
10/31/2012	NP13-1-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC201102828	CIP-005-1	R1	Medium			X
10/31/2012	NP13-1-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC201102830	CIP-005-1	R2	Medium			X
10/31/2012	NP13-1-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC201002440	CIP-005-1	R4	Medium			X
10/31/2012	NP13-1-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC201102825	CIP-006-1	R1	Medium			X
10/31/2012	NP13-1-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC201102823	CIP-007-1	R2	Medium			X
10/31/2012	NP13-1-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC201002713	CIP-007-1	R3	Lower			X
10/31/2012	NP13-1-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC201002441	CIP-007-1	R8	Medium			X
10/31/2012	NP13-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$54,000	SNOP	WECC2011009023	CIP-004-1	R4	Lower			X

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10/31/2012	NP13-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$54,000	SNOP	WECC2011009024	CIP-007-1	R3	Lower			X
10/31/2012	NP13-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	WECC201102850	CIP-004-1	R2	Lower			X
10/31/2012	NP13-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	WECC201002790	CIP-004-1	R3	Medium			X
10/31/2012	NP13-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	WECC201002791	CIP-004-1	R4	Lower			X
10/31/2012	NP13-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	WECC201102793	CIP-005-1	R1	Medium			X
10/31/2012	NP13-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	WECC201002794	CIP-005-1	R2; R2.4; R2.5.3	Medium			X
10/31/2012	NP13-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	WECC201102428	CIP-005-2	R5; R5.2	Lower			X
10/31/2012	NP13-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	WECC201002792	CIP-006-1	R1; R1.5; R1.8	Medium			X
10/31/2012	NP13-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	WECC201102788	CIP-007-2a	R3; R3.1	Lower			X
10/31/2012	NP13-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	WECC201102795	CIP-007-1	R5	Lower			X
10/31/2012	NP13-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	WECC201102439	CIP-007-2a	R7; R7.2	Lower			X
10/31/2012	NP13-5-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	NPCC2011007407	CIP-002-2	R1.2	Medium			X
10/31/2012	NP13-5-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	NPCC2011007408	CIP-003-2	R5	Lower			X
10/31/2012	NP13-5-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	NPCC2011007409	CIP-004-2	R4	Lower			X
10/31/2012	NP13-5-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	NPCC2011007410	CIP-005-2	R1.5	Medium			X
10/31/2012	NP13-5-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	NPCC2011007411	CIP-007-2a	R1	Medium			X
10/31/2012	NP13-5-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	NPCC2011007412	CIP-007-2a	R3	Lower			X
10/31/2012	NP13-5-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	NPCC2011007413	CIP-007-2a	R4.2	Medium			X
10/31/2012	NP13-5-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	NPCC2011007414	CIP-007-2a	R5	Lower			X
10/31/2012	NP13-5-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	NPCC2011007417	CIP-006-2	R1	Medium			X
10/31/2012	NP13-5-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	NPCC2011007427	CIP-006-2	R3	Medium			X
10/31/2012	NP13-5-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	NPCC2011007428	CIP-006-2	R8	Medium			X
10/31/2012	NP13-5-000	RF	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	RFC201000367	CIP-006-1	R1.1	Medium			X
10/31/2012	NP13-5-000	RF	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	RFC201000624	CIP-004-1	R3.2	Lower			X
10/31/2012	NP13-5-000	RF	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	RFC201100747	CIP-004-3	R2.1	Medium			X
10/31/2012	NP13-5-000	RF	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	RFC201100780	CIP-007-2a	R3.1	Lower			X
10/31/2012	NP13-5-000	RF	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	RFC201100822	CIP-005-1	R1	Medium			X
10/31/2012	NP13-5-000	RF	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	RFC201100864	CIP-007-2a	R2	Medium			X
10/31/2012	NP13-5-000	RF	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	RFC201100865	CIP-007-1	R6	Lower			X
10/31/2012	NP13-5-000	RF	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	RFC201100942	CIP-007-1	R5.3	Lower			X
10/31/2012	NP13-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	SPP201000376	CIP-003-1	R5	Lower			X
10/31/2012	NP13-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	SPP201000378	CIP-005-1	R3; R3.2	Medium			X
10/31/2012	NP13-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	SPP201000379	CIP-005-1	R4	Medium			X
10/31/2012	NP13-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	SPP201000383	CIP-007-1	R2; R2.1; R2.2	Medium			X
10/31/2012	NP13-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	SPP201000384	CIP-007-1	R3	Lower			X
10/31/2012	NP13-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	SPP201000385	CIP-007-1	R6; R6.1; R6.2	Medium			X
10/31/2012	NP13-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	SPP201000386	CIP-007-1	R7	Lower			X
10/31/2012	NP13-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	SPP201000387	CIP-007-1	R8	Medium			X
10/31/2012	NP13-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	SPP201000388	CIP-007-1	R9	Lower			X
10/31/2012	NP13-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	SPP201000389	CIP-009-1	R4	Lower			X
10/31/2012	NP13-5-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	SPP201100520	CIP-006-1	R3; R3.1	Medium			X
10/31/2012	NP13-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$24,000	SNOP	WECC2012009976	CIP-005-1	R3; R3.2	Medium			X
10/31/2012	NP13-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$24,000	SNOP	WECC2012009938	CIP-006-1	R3	Medium			X
10/31/2012	NP13-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$24,000	SNOP	WECC2012009939	CIP-006-1	R4	Lower			X
10/31/2012	NP13-5-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$17,000	SNOP	TRE201100264	CIP-007-1	R2; R2.1	Medium			X
10/31/2012	NP13-5-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$17,000	SNOP	TRE201100265	CIP-007-2a	R3; R3.1 and R3.2	Lower			X
9/28/2012	NP12-46-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC201002362	CIP-005-2	R2	Medium			X
9/28/2012	NP12-46-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC201002338	CIP-003-1	R6	Lower			X
9/28/2012	NP12-46-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC201002361	CIP-005-2	R1	Medium			X
9/28/2012	NP12-46-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC201002350	CIP-009-1	R3	Lower			X
9/28/2012	NP12-46-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC201002363	CIP-005-2	R3	Medium			X
9/28/2012	NP12-46-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC201002364	CIP-005-2	R4	Medium			X
9/28/2012	NP12-46-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC201002341	CIP-007-1	R1	Medium			X
9/28/2012	NP12-46-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC201002342	CIP-007-1	R3	Lower			X
9/28/2012	NP12-46-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC201002344	CIP-007-1	R5	Medium			X
9/28/2012	NP12-46-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC201002345	CIP-007-1	R6	Medium			X
9/28/2012	NP12-46-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC201002346	CIP-007-1	R7	Lower			X
9/28/2012	NP12-46-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC201002347	CIP-007-1	R8	Medium			X
9/28/2012	NP12-46-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC201002348	CIP-007-1	R9	Lower			X
9/28/2012	NP12-46-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC201002365	CIP-008-2	R1	Lower			X
9/28/2012	NP12-46-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC201002349	CIP-009-1	R1	Medium			X
9/28/2012	NP12-46-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC201002343	CIP-007-1	R4	Medium			X
9/28/2012	NP12-46-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$200,000	SA	WECC201002339	CIP-004-1	R2	Medium			X

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9/28/2012	NP12-45-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	FRCC2011007260	CIP-007-1	R6	Medium			X
9/28/2012	NP12-45-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	FRCC201000312	CIP-007-1	R1	Medium			X
9/28/2012	NP12-45-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	FRCC201000377	CIP-006-2	R5	Medium			X
9/28/2012	NP12-45-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	FRCC201000378	CIP-007-1	R3	Lower			X
9/28/2012	NP12-45-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	FRCC201100420	CIP-005-1	R2.2	Medium			X
9/28/2012	NP12-45-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	FRCC201100421	CIP-007-1	R2	Medium			X
9/28/2012	NP12-45-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	FRCC2011007241	CIP-007-1	R8	Medium			X
9/28/2012	NP12-45-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	FRCC2011007252	CIP-005-1	R4.5	Medium			X
9/28/2012	NP12-45-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	FRCC2011007256	CIP-006-1	R6	Medium			X
9/28/2012	NP12-45-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	FRCC2011007259	CIP-007-1	R5	Medium			X
9/28/2012	NP12-45-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	FRCC200900304	CIP-004-1	R4	Lower			X
9/28/2012	NP12-45-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$150,000	SA	FRCC2011007257	CIP-007-1	R3	Lower			X
9/28/2012	NP12-47-000	WECC	Public Service Company of New Mexico	NCR05333	\$79,000	SNOP	WECC201102547	CIP-001-1	R1	Medium			X
9/28/2012	NP12-47-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	WECC201002817	CIP-007-2a	R7; R7.1	Lower			X
9/28/2012	NP12-47-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	WECC201002816	CIP-006-1	R3	Medium			X
9/28/2012	NP12-47-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	WECC201002814	CIP-006-1	R1; R1.1; R1.8	Medium			X
9/28/2012	NP12-47-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	WECC201002813	CIP-004-1	R4; R4.1	Lower			X
9/28/2012	NP12-47-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	WECC201002812	CIP-003-1	R4; R4.1	Lower			X
9/28/2012	NP12-47-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	WECC201002810	CIP-002-1	R1	High			X
9/28/2012	NP12-47-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	WECC201002400	CIP-004-1	R2; R2.1	Medium			X
9/28/2012	NP12-47-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$17,400	SNOP	WECC2012009304	CIP-007-1	R6	Lower			X
9/28/2012	NP12-47-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$13,500	SNOP	TRE201000223	CIP-007-1	R4	Medium			X
9/28/2012	NP12-47-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$13,500	SNOP	TRE2012010051	CIP-007-1	R4; R4.1; R4.2	Medium			X
9/28/2012	NP12-47-000	RF	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	RFC2012001322	CIP-007-1	R4.2	Medium			X
9/28/2012	NP12-47-000	RF	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	RFC2012010114	CIP-006-1	R1.8	Lower			X
9/28/2012	NP12-47-000	RF	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	RFC2012009872	CIP-007-1	R8	Lower			X
9/28/2012	NP12-47-000	RF	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	RFC2012009871	CIP-005-1	R4	Medium			X
9/28/2012	NP12-47-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$7,000	SNOP	TRE201100475	CIP-007-1	R6	Lower			X
9/28/2012	NP12-47-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$5,500	SNOP	SPP201000299	CIP-002-1	R2	High			X
9/28/2012	NP12-47-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	TRE201000247	CIP-007-1	R1	Medium			X
9/28/2012	NP12-47-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	TRE201100335	CIP-006-3a	R6	Lower			X
9/28/2012	NP12-47-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	TRE201100343	CIP-005-1	R1; R1.6	Lower			X
9/28/2012	NP12-47-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	TRE201100345	CIP-007-1	R6	Lower			X
9/28/2012	NP12-47-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	TRE201100359	CIP-006-1	R1; R1.8	Medium			X
9/28/2012	NP12-47-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	TRE201100360	CIP-007-1	R8	Lower			X
9/28/2012	NP12-47-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	TRE201100380	CIP-004-3	R4; R4.2	Lower			X
9/28/2012	NP12-47-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	TRE201100398	CIP-004-1	R3; R3.1	Lower			X
9/28/2012	NP12-47-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	TRE201100517	CIP-005-1	R2	Medium			X
9/28/2012	NP12-47-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	TRE201100518	CIP-005-1	R4	Medium			X
9/28/2012	NP12-47-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	TRE201100519	CIP-007-1	R2	Medium			X
9/28/2012	NP12-47-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	TRE201100520	CIP-007-1	R3; R3.1	Lower			X
8/31/2012	NP12-44-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$75,000	SNOP	FRCC201000409	CIP-007-1	R6	Medium			X
8/31/2012	NP12-44-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$75,000	SNOP	FRCC2011007926	CIP-007-1	R2	Medium			X
8/31/2012	NP12-44-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$75,000	SNOP	FRCC2011007927	CIP-007-1	R8	Medium			X
8/31/2012	NP12-44-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$75,000	SNOP	FRCC2011007928	CIP-007-1	R5	Medium			X
8/31/2012	NP12-44-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$75,000	SNOP	FRCC2011007930	CIP-005-1	R1	Medium			X
8/31/2012	NP12-44-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$75,000	SNOP	FRCC2011007931	CIP-005-1	R4	Medium			X
8/31/2012	NP12-44-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$75,000	SNOP	FRCC2011007969	CIP-007-1	R3	Lower			X
8/31/2012	NP12-44-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$75,000	SNOP	FRCC2011007972	CIP-002-1	R3	High			X
8/31/2012	NP12-44-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$75,000	SNOP	FRCC2011007970	CIP-004-3	R4.2	Lower			X
8/31/2012	NP12-44-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$75,000	SNOP	FRCC2011008231	CIP-005-1	R2; R2.2; R2.4	Medium			X
8/31/2012	NP12-43-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$70,000	SA	WECC201102832	CIP-004-3	R4	Lower			X
8/31/2012	NP12-44-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	WECC201103008	CIP-007-1	R2	Medium			X
8/31/2012	NP12-44-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	WECC201103009	CIP-007-1	R4	Medium			X
8/31/2012	NP12-44-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	WECC201103010	CIP-007-1	R5.3	Medium			X
8/31/2012	NP12-44-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$50,000	SNOP	WECC201103011	CIP-007-1	R6	Medium			X
8/31/2012	NP12-44-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	WECC2012009556	CIP-005-1	R2; R2.2	Medium			X
8/31/2012	NP12-44-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	WECC2012009557	CIP-005-1	R4	Medium			X
8/31/2012	NP12-44-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$27,800	SNOP	WECC201102753	CIP-004-3	R4	Medium			X
8/31/2012	NP12-44-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2011001265	CIP-004-3	R3.1	Lower			X
8/31/2012	NP12-44-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	RFC2011001266	CIP-004-3	R3.1	Lower			X
7/31/2012	NP12-37-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$134,350	SA	WECC201002258	CIP-004-1	R2	Lower			X
7/31/2012	NP12-37-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$134,350	SA	WECC201002298	CIP-004-1	R3	Medium			X
7/31/2012	NP12-37-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$134,350	SA	WECC201002406	CIP-006-1	R2	Medium			X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$ (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.))	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
7/31/2012	NP12-37-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$134,350	SA	WECC201002299	CIP-006-1	R3	Medium			X
7/31/2012	NP12-37-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$134,350	SA	WECC201002300	CIP-006-1	R4	Lower			X
7/31/2012	NP12-37-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$134,350	SA	WECC201002379	CIP-006-1	R2	Medium			X
7/31/2012	NP12-37-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$134,350	SA	WECC201002259	CIP-004-1	R4	Lower			X
7/31/2012	NP12-37-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$134,350	SA	WECC201002254	CIP-003-1	R5.1	Lower			X
7/31/2012	NP12-37-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$134,350	SA	WECC201002253	CIP-003-1	R4.2	Lower			X
7/31/2012	NP12-38-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$72,000	SA	WECC201002335	CIP-002-1	R1; R1.1	Lower			X
7/31/2012	NP12-38-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$72,000	SA	WECC201102618	CIP-004-3	R4.1; R4.2	Lower			X
7/31/2012	NP12-38-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$72,000	SA	WECC201002336	CIP-004-1	R2.1; R2.3	Medium			X
7/31/2012	NP12-38-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$72,000	SA	WECC201002337	CIP-004-1	R3	Medium			X
7/31/2012	NP12-38-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$72,000	SA	WECC201002175	CIP-004-1	R4	Medium			X
7/31/2012	NP12-38-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$72,000	SA	WECC201002185	CIP-006-2	R3	Medium			X
7/31/2012	NP12-38-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$72,000	SA	WECC200902285	CIP-007-1	R5.1.2; R5.2.1	Lower			X
7/31/2012	NP12-38-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$72,000	SA	WECC200902286	CIP-007-1	R6.5	Lower			X
7/31/2012	NP12-38-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$72,000	SA	WECC201002360	CIP-005-2	R1.5	Medium			X
7/31/2012	NP12-40-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$39,000	SNOP	WECC201102804	CIP-006-1	R1.8	Medium			X
7/31/2012	NP12-40-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$39,000	SNOP	WECC201102943	CIP-007-3	R5.1.2	Lower			X
7/31/2012	NP12-40-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$39,000	SNOP	WECC201102944	CIP-007-3	R6.4	Lower			X
7/31/2012	NP12-40-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$22,000	SNOP	WECC201001885	CIP-003-1	R2; R2.1; R2.2	Lower			X
7/31/2012	NP12-40-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$22,000	SNOP	WECC201001884	CIP-003-1	R1; R1.2; R1.3	Lower			X
7/31/2012	NP12-40-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$22,000	SNOP	WECC201001886	CIP-007-1	R1; R1.3	Lower			X
7/31/2012	NP12-40-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	WECC201100869	CIP-005-1	R2.2	Medium			X
7/31/2012	NP12-40-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	WECC2012009701	CIP-005-1	R1.5	Medium			X
7/31/2012	NP12-40-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	WECC2011009043	CIP-006-1	R1.1	Medium			X
7/31/2012	NP12-40-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	WECC2011008647	CIP-007-1	R2	Medium			X
7/31/2012	NP12-40-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$12,600	SNOP	WECC201102894	CIP-004-3	R3; R3.2	Lower			X
7/31/2012	NP12-40-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$12,600	SNOP	WECC201102895	CIP-004-3	R4	Lower			X
7/31/2012	NP12-40-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$7,500	SNOP	WECC2012009702	CIP-006-1	R1; R1.8	Medium			X
7/31/2012	NP12-40-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$5,000	SNOP	WECC201102667	CIP-004-3	R2; R2.1	Medium			X
6/29/2012	NP12-36-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$67,500	SNOP	WECC201002448	CIP-003-1	R5; R5.2	Lower			X
6/29/2012	NP12-36-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$67,500	SNOP	WECC201002490	CIP-003-1	R6	Lower			X
6/29/2012	NP12-36-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$67,500	SNOP	WECC201002447	CIP-004-1	R4	Lower			X
6/29/2012	NP12-36-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$67,500	SNOP	WECC201002491	CIP-005-1	R1	Medium			X
6/29/2012	NP12-36-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$67,500	SNOP	WECC201002492	CIP-006-1	R1; R1.8	Medium			X
6/29/2012	NP12-36-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$67,500	SNOP	WECC201002467	CIP-007-1	R1	Medium			X
6/29/2012	NP12-36-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$67,500	SNOP	WECC201002437	CIP-007-1	R2	Medium			X
6/29/2012	NP12-36-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$67,500	SNOP	WECC201102840	CIP-007-1	R3	Lower			X
6/29/2012	NP12-36-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$67,500	SNOP	WECC201102841	CIP-009-1	R1	Medium			X
6/29/2012	NP12-36-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$14,900	SNOP	WECC2011008643	CIP-004-3	R4.1; R4.2	Lower			X
6/29/2012	NP12-36-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$12,500	SNOP	WECC2011008663	CIP-007-1	R3; R3.1	Lower			X
6/29/2012	NP12-36-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$12,500	SNOP	WECC2012009235	CIP-006-1	R1; R1.8	Lower			X
6/29/2012	NP12-36-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$12,500	SNOP	WECC2012009233	CIP-005-1	R1; R1.5	Medium			X
6/29/2012	NP12-36-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	WECC201102926	CIP-005-1	R2; R2.2	Medium			X
6/29/2012	NP12-36-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	WECC201102927	CIP-007-1	R2; R2.1	Medium			X
6/29/2012	NP12-36-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$8,000	SNOP	TRE201000348	CIP-006-1	R3	Medium			X
6/29/2012	NP12-36-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$8,000	SNOP	TRE201000349	CIP-006-1	R4	Lower			X
6/29/2012	NP12-36-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$7,000	SNOP	WECC2012009825	CIP-004-3	R2.1	Medium			X
6/29/2012	NP12-36-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	SERC200900347	CIP-007-1	R1	Lower			X
5/30/2012	NP12-29-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$162,200	NOCV	WECC201102887	CIP-006-3c	R1	Medium			X
5/30/2012	NP12-29-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$162,200	NOCV	WECC201102522	CIP-005-1	R2	Medium			X
5/30/2012	NP12-27-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$21,000	SNOP	WECC201102918	CIP-002-1	R3	High			X
5/30/2012	NP12-27-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$21,000	SNOP	WECC201102919	CIP-005-1	R2; R2.2	Medium			X
5/30/2012	NP12-27-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$21,000	SNOP	WECC201102920	CIP-007-1	R2; R2.2	Medium			X
5/30/2012	NP12-27-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$15,600	SNOP	WECC2011008702	CIP-007-1	R5; R5.2.2	Lower			X
5/30/2012	NP12-27-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$15,600	SNOP	WECC2011008703	CIP-006-1	R1; R1.8	Lower			X
5/30/2012	NP12-27-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$15,600	SNOP	WECC2011008705	CIP-005-1	R1; R1.5	Lower			X
5/30/2012	NP12-27-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	MRO201000231	CIP-006-2	R2.2	Medium			X
5/30/2012	NP12-27-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	MRO201100275	CIP-003-1	R6	Lower			X
5/30/2012	NP12-27-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	MRO201100276	CIP-007-1	R1.1	Medium			X
5/30/2012	NP12-27-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	MRO201100278	CIP-007-1	R3.1	Lower			X
5/30/2012	NP12-27-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	MRO201100280	CIP-003-1	R3.3	Lower			X
5/30/2012	NP12-27-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	MRO201100281	CIP-003-1	R5.2	Lower			X
5/30/2012	NP12-27-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	MRO201100282	CIP-004-1	R4.1	Lower			X
5/30/2012	NP12-27-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	MRO201100283	CIP-005-1	R5.1	Lower			X
5/30/2012	NP12-27-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	MRO201100284	CIP-006-1	R1.1	Medium			X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$) (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.)	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
4/30/2012	NP12-25-000	RF	Unidentified Registered Entity	NCRXXXXX	\$115,000	SA	RFC201000452	CIP-007-1	R3.1; R3.2	Lower			X
4/30/2012	NP12-25-000	RF	Unidentified Registered Entity	NCRXXXXX	\$115,000	SA	RFC201000453	CIP-007-3	R4.1	Medium			X
4/30/2012	NP12-25-000	RF	Unidentified Registered Entity	NCRXXXXX	\$115,000	SA	RFC201000454	CIP-007-3	R6	Lower			X
4/30/2012	NP12-25-000	RF	Unidentified Registered Entity	NCRXXXXX	\$115,000	SA	RFC201000460	CIP-004-2	R4.2	Medium			X
4/30/2012	NP12-25-000	RF	Unidentified Registered Entity	NCRXXXXX	\$115,000	SA	RFC201100733	CIP-002-3	R3.2	Lower			X
4/30/2012	NP12-25-000	RF	Unidentified Registered Entity	NCRXXXXX	\$115,000	SA	RFC201100734	CIP-006-3	R1.1	Medium			X
4/30/2012	NP12-25-000	RF	Unidentified Registered Entity	NCRXXXXX	\$115,000	SA	RFC201100735	CIP-007-3	R1.1	Medium			X
4/30/2012	NP12-25-000	RF	Unidentified Registered Entity	NCRXXXXX	\$115,000	SA	RFC201100736	CIP-007-3	R2	Medium			X
4/30/2012	NP12-25-000	RF	Unidentified Registered Entity	NCRXXXXX	\$115,000	SA	RFC201100737	CIP-007-3	R6.1; R6.5	Lower			X
4/30/2012	NP12-25-000	RF	Unidentified Registered Entity	NCRXXXXX	\$115,000	SA	RFC201100760	CIP-005-3	R1.4	Medium			X
4/30/2012	NP12-25-000	RF	Unidentified Registered Entity	NCRXXXXX	\$115,000	SA	RFC201100761	CIP-005-3	R2.2	Medium			X
4/30/2012	NP12-25-000	RF	Unidentified Registered Entity	NCRXXXXX	\$115,000	SA	RFC201100762	CIP-005-3	R3.2	Medium			X
4/30/2012	NP12-25-000	RF	Unidentified Registered Entity	NCRXXXXX	\$115,000	SA	RFC201100763	CIP-005-3	R4.2	Medium			X
4/30/2012	NP12-25-000	RF	Unidentified Registered Entity	NCRXXXXX	\$115,000	SA	RFC201100764	CIP-007-3	R2.1	Medium			X
4/30/2012	NP12-25-000	RF	Unidentified Registered Entity	NCRXXXXX	\$115,000	SA	RFC201100765	CIP-007-3	R3.1; R3.2	Lower			X
4/30/2012	NP12-25-000	RF	Unidentified Registered Entity	NCRXXXXX	\$115,000	SA	RFC201100766	CIP-007-3	R5.1.2; R5.1.3; R5.3.2	Lower/ Medium			X
4/30/2012	NP12-25-000	RF	Unidentified Registered Entity	NCRXXXXX	\$115,000	SA	RFC201100767	CIP-007-3	R8.2	Medium			X
4/30/2012	NP12-26-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$27,000	SNOP	SPP201000278	CIP-006-1	R1	Medium			X
4/30/2012	NP12-26-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$27,000	SNOP	RFC201000366	CIP-006-1	R1	Medium			X
4/30/2012	NP12-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$27,000	SNOP	TRE201000180	CIP-006-1	R1	Medium			X
4/30/2012	NP12-26-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$27,000	SNOP	SPP200900156	CIP-007-1	R1	Medium			X
4/30/2012	NP12-26-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$27,000	SNOP	RFC200900327	CIP-007-1	R1	Medium			X
4/30/2012	NP12-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$27,000	SNOP	TRE201000225	CIP-007-1	R1	Medium			X
4/30/2012	NP12-26-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	NPCC2011007269	CIP-005-1	R1; R1.5	Medium			X
4/30/2012	NP12-26-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	NPCC2011007270	CIP-007-1	R3	Lower			X
4/30/2012	NP12-26-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	NPCC2011007271	CIP-006-1	R1; R1.8	Lower			X
4/30/2012	NP12-26-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	NPCC2011007272	CIP-007-1	R1; R1.1	Medium			X
4/30/2012	NP12-26-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$17,300	SNOP	WECC201102977	CIP-005-3	R5 (R5.1)	Lower			X
4/30/2012	NP12-26-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$17,300	SNOP	WECC201102983	CIP-007-3	R9	Lower			X
4/30/2012	NP12-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	RFC201100854	CIP-009-1	R1	Medium			X
4/30/2012	NP12-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	RFC201100922	CIP-005-1	R3.2	Medium			X
4/30/2012	NP12-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	RFC201100923	CIP-007-1	R2	Medium			X
4/30/2012	NP12-26-000	RF	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	RFC201100924	CIP-007-1	R5; R5.2.2; R5.3	Lower			X
4/30/2012	NP12-26-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$8,000	SNOP	NPCC2011007731	CIP-005-2	R3; R3.2	Medium			X
4/30/2012	NP12-26-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$8,000	SNOP	NPCC2011007732	CIP-007-1	R5; R5.2.1; R5.3.2; R5.3.3	Medium			X
4/30/2012	NP12-26-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$8,000	SNOP	NPCC2011008068	CIP-007-1	R5; R5.2.2	Lower			X
4/30/2012	NP12-26-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$6,000	SNOP	MRO201100249	CIP-009-1	R1	Medium			X
3/30/2012	NP12-20-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$60,000		WECC201002383	CIP-002-1	R1	Medium			X
3/30/2012	NP12-20-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$60,000		WECC201002384	CIP-002-1	R2	High			X
3/30/2012	NP12-20-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$60,000		WECC201002385	CIP-002-1	R3	High			X
3/30/2012	NP12-20-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$60,000		WECC201002386	CIP-002-1	R4	Lower			X
3/30/2012	NP12-20-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$60,000		WECC201102417	CIP-003-1	R2	Medium			X
3/30/2012	NP12-20-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$60,000		WECC201102703	CIP-001-1	R1	Medium			X
3/30/2012	NP12-20-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$60,000		WECC201102702	CIP-001-1	R2	Medium			X
3/30/2012	NP12-22-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	SPP201000234	CIP-002-1	R2	High			X
3/30/2012	NP12-22-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	SPP201000236	CIP-003-1	R1	Medium			X
3/30/2012	NP12-22-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	SPP201000238	CIP-004-1	R2; R2.2.1; R2.2.4; R2.3	Medium			X
3/30/2012	NP12-22-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	SPP201000239	CIP-004-1	R4; R4.2	Lower			X
3/30/2012	NP12-22-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	SPP201000240	CIP-007-1	R1.3	Lower			X
3/30/2012	NP12-22-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	SPP201000241	CIP-007-1	R5.2	Lower			X
3/30/2012	NP12-22-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	SPP201000242	CIP-007-1	R5.3	Lower			X
3/30/2012	NP12-22-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	SPP201000243	CIP-008-1	R1	Lower			X
3/30/2012	NP12-22-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	SPP201000244	CIP-009-1	R1	Medium			X
3/30/2012	NP12-22-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	SPP201000259	CIP-009-1	R2	Lower			X
3/30/2012	NP12-22-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	SPP201000345	CIP-005-1	R2; R2.2; R2.4	Medium			X
3/30/2012	NP12-22-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	SPP201000346	CIP-005-1	R3; R3.2	Medium			X
3/30/2012	NP12-22-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	SPP201000348	CIP-005-1	R5; R5.1	Lower			X
3/30/2012	NP12-22-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	SPP201000349	CIP-007-1	R1.3	Lower			X
3/30/2012	NP12-22-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	SPP201000352	CIP-007-1	R4; R4.1; R4.2	Medium			X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$) (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.)	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
3/30/2012	NP12-22-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	SPP201000353	CIP-007-1	R5; R5.1.3; R5.3	Medium			X
3/30/2012	NP12-22-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	SPP201000354	CIP-007-1	R6; R6.1; R6.2; R6.5	Medium			X
3/30/2012	NP12-22-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$12,000	SNOP	SPP201000441	CIP-003-1	R3	Lower			X
3/30/2012	NP12-22-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	NPCC201000219	CIP-006-2	R5	Medium			X
3/30/2012	NP12-22-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	NPCC201000220	CIP-002-2	R3	Medium			X
3/30/2012	NP12-22-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	NPCC201100247	CIP-006-2	R2	Medium			X
3/30/2012	NP12-22-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	NPCC201100248	CIP-007-1	R2	Medium			X
3/30/2012	NP12-22-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$8,000	SNOP	WECC201002076	CIP-006-1	R3	Medium			X
2/29/2012	NP12-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$80,000		WECC201002197	CIP-004-1	R4	Medium			X
2/29/2012	NP12-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$80,000		WECC201002195	CIP-004-1	R2	Medium			X
2/29/2012	NP12-16-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$80,000		WECC201002196	CIP-004-1	R3	Medium			X
2/29/2012	NP12-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	RFC201100830	CIP-004-1	R2; R2.1; R2.3	Medium, Lower			X
2/29/2012	NP12-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	RFC201100831	CIP-004-1	R3; R3.1; R3.3	Lower			X
2/29/2012	NP12-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	RFC201100832	CIP-004-1	R4; R4.1; R4.2	Lower, Medium			X
2/29/2012	NP12-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	RFC201100833	CIP-006-3c	R1; R1.6	Medium			X
2/29/2012	NP12-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	RFC201100834	CIP-006-1	R2; R2.2	Medium			X
2/29/2012	NP12-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$65,000	SNOP	RFC201100835	CIP-006-1	R5	Medium			X
2/29/2012	NP12-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	RFC201100778	CIP-006-2c	R2; R2.2	Medium			X
2/29/2012	NP12-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	RFC201100779	CIP-007-2a	R2	Medium			X
2/29/2012	NP12-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	RFC201100913	CIP-005-2	R1; R1.5	Medium			X
2/29/2012	NP12-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	RFC201100915	CIP-006-2	R3	Medium			X
2/29/2012	NP12-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	RFC201100917	CIP-006-2	R8	Medium			X
2/29/2012	NP12-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	RFC201100918	CIP-007-2	R1	Lower			X
2/29/2012	NP12-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	RFC201100919	CIP-007-2	R3	Lower			X
2/29/2012	NP12-18-000	RF	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	RFC201100920	CIP-007-2	R4	Medium			X
2/29/2012	NP12-17-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$40,000		SPP201000226	CIP-004-1	R3	Medium			X
2/29/2012	NP12-17-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$40,000		SPP201000231	CIP-009-1	R5	Lower			X
2/29/2012	NP12-17-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$40,000		SPP201000222	CIP-002-1	R3.1	Lower			X
2/29/2012	NP12-17-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$40,000		SPP201000223	CIP-003-1	R1; R1.1	Lower			X
2/29/2012	NP12-17-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$40,000		SPP201000224	CIP-003-1	R3	Lower			X
2/29/2012	NP12-17-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$40,000		SPP201000225	CIP-004-1	R2	Lower			X
2/29/2012	NP12-17-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$40,000		SPP200900135	CIP-002-1	R1.1	Lower			X
2/29/2012	NP12-17-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$40,000		SPP201000227	CIP-004-1	R4	Lower			X
2/29/2012	NP12-17-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$40,000		SPP201000220	CIP-006-1	R1.1	Medium			X
2/29/2012	NP12-17-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$40,000		SPP201000228	CIP-007-1	R1	Medium			X
2/29/2012	NP12-17-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$40,000		SPP201000221	CIP-007-1	R4	Medium			X
2/29/2012	NP12-17-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$40,000		SPP201000229	CIP-007-1	R5.2.3	Medium			X
2/29/2012	NP12-17-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$40,000		SPP201000230	CIP-009-1	R1.2	Medium			X
2/29/2012	NP12-17-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$40,000		SPP201000219	CIP-003-1	R4.2	Lower			X
2/29/2012	NP12-18-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$27,900	SNOP	WECC201102641	CIP-005-3	R1.5	Medium			X
2/29/2012	NP12-18-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$27,900	SNOP	WECC201102639	CIP-006-1	R1.8	Medium			X
2/29/2012	NP12-18-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$20,800	SNOP	SPP201000302	CIP-004-1	R2.1	Medium			X
2/29/2012	NP12-18-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$20,800	SNOP	SPP201000303	CIP-004-1	R3	Medium			X
2/29/2012	NP12-18-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$20,800	SNOP	SPP201000304	CIP-004-1	R4	Medium			X
2/29/2012	NP12-18-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$20,800	SNOP	SPP201000305	CIP-007-1	R1	Medium			X
2/29/2012	NP12-18-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$20,800	SNOP	SPP201000306	CIP-008-1	R1.6	Lower			X
2/29/2012	NP12-18-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$20,800	SNOP	SPP201000307	CIP-009-1	R1	Medium			X
2/29/2012	NP12-18-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$20,800	SNOP	SPP201000308	CIP-009-1	R2	Lower			X
2/29/2012	NP12-18-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$12,300	SNOP	WECC201102518	CIP-007-3	R3	Lower			X
2/29/2012	NP12-18-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$12,300	SNOP	WECC201102519	CIP-007-3	R4; R4.1; R4.2	Medium			X
2/29/2012	NP12-18-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$12,300	SNOP	WECC201102520	CIP-007-3	R3	Lower			X
2/29/2012	NP12-18-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$12,300	SNOP	WECC201102521	CIP-007-3	R4	Medium			X
2/29/2012	NP12-18-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	FRCC201000306	CIP-003-1	R6	Lower			X
2/29/2012	NP12-18-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	FRCC201000307	CIP-007-1	R1; R1.1; R1.2; R1.3	Medium			X
2/29/2012	NP12-18-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	FRCC201000362	CIP-007-1	R6; R6.1; R6.3; R6.4	Medium			X
2/29/2012	NP12-18-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$8,800	SNOP	SPP201000330	CIP-007-1	R1	Medium			X
2/29/2012	NP12-18-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$8,800	SNOP	SPP201000331	CIP-008-1	R1; R1.5; R1.6	Lower			X
2/29/2012	NP12-18-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$8,800	SNOP	SPP201000332	CIP-009-1	R1	Medium			X
2/29/2012	NP12-18-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$8,800	SNOP	SPP201000334	CIP-007-1	R3	Lower			X

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2/29/2012	NP12-18-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$5,000	SNOP	NPCC201000190	CIP-007-1	R2; R2.1	Medium			X
2/29/2012	NP12-18-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$5,000	SNOP	NPCC201000191	CIP-005-1	R2; R2.2	Medium			X
2/29/2012	NP12-18-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$3,800	SNOP	NPCC201100249	CIP-004-2	R3	Medium			X
2/29/2012	NP12-18-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$2,000	SNOP	WECC201102661	CIP-004-1	R4	Lower			X
1/31/2012	NP12-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$135,000		WECC200902072	CIP-003-1	R5	Lower			X
1/31/2012	NP12-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$135,000		WECC201001880	CIP-002-1	R1	Medium			X
1/31/2012	NP12-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$135,000		WECC201001881	CIP-002-1	R3	High			X
1/31/2012	NP12-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$135,000		WECC201002066	CIP-007-1	R6	Medium			X
1/31/2012	NP12-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$135,000		WECC200902070	CIP-004-1	R4	Medium			X
1/31/2012	NP12-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$135,000		WECC201002084	CIP-005-1	R2	Medium			X
1/31/2012	NP12-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$135,000		WECC201002119	CIP-006-2	R1	Medium			X
1/31/2012	NP12-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$135,000		WECC201002089	CIP-006-1	R2	Medium			X
1/31/2012	NP12-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$135,000		WECC201002113	CIP-006-2	R2	Medium			X
1/31/2012	NP12-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$135,000		WECC201002060	CIP-007-1	R2	Medium			X
1/31/2012	NP12-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$135,000		WECC201002067	CIP-007-1	R3	Lower			X
1/31/2012	NP12-11-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$135,000		WECC201002061	CIP-007-1	R5	Lower			X
1/31/2012	NP12-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	WECC201002391	CIP-003-1	R1	Medium			X
1/31/2012	NP12-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	WECC201002393	CIP-003-1	R6	Lower			X
1/31/2012	NP12-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	WECC201002296	CIP-004-1	R2; R2.3	Lower			X
1/31/2012	NP12-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	WECC201002394	CIP-004-1	R4	Lower			X
1/31/2012	NP12-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	WECC201002399	CIP-005-1	R1; R1.5	Lower			X
1/31/2012	NP12-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	WECC201002397	CIP-006-1	R1; R1.8	Lower			X
1/31/2012	NP12-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	WECC201002392	CIP-003-2	R5	Lower			X
1/31/2012	NP12-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	WECC201002395	CIP-007-1	R5; R5.1.3	Medium			X
1/31/2012	NP12-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SNOP	WECC201102807	CIP-004-1	R2.1; R2.3	Lower			X
1/31/2012	NP12-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SNOP	WECC20100599	CIP-006-1	R1.8	Lower			X
1/31/2012	NP12-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SNOP	WECC201102609	CIP-007-1	R3.1	Lower			X
1/31/2012	NP12-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SNOP	WECC201102606	CIP-007-1	R6	Lower			X
1/31/2012	NP12-12-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$45,000	SNOP	WECC20112613	CIP-007-3	R8	Lower			X
1/31/2012	NP12-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC201000305	CIP-004-1	R2; R2.1.3; R2.3.	Lower			X
1/31/2012	NP12-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC201000662	CIP-004-1	R3; R3.2	Medium			X
1/31/2012	NP12-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC201000306	CIP-004-1	R4; R4.1; R4.2	Medium			X
1/31/2012	NP12-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC201100774	CIP-007-2	R4	Medium			X
1/31/2012	NP12-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC201100775	CIP-007-2	R5; R5.3	Lower			X
1/31/2012	NP12-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC201100999	CIP-007-3	R6; R6.4; R6.5	Lower			X
1/31/2012	NP12-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	RFC201000440	CIP-004-1	R4; R4.1; R4.2	Lower			X
1/31/2012	NP12-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	RFC201000441	CIP-004-1	R4; R4.1; R4.2	Lower			X
1/31/2012	NP12-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	RFC201000442	CIP-004-1	R4; R4.1; R4.2	Lower			X
1/31/2012	NP12-12-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$9,000	SNOP	TRE201000136	CIP-003-1	R1; R1.2	Lower			X
1/31/2012	NP12-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$7,500	SNOP	RFC201000646	CIP-004-1	R4	Lower			X
1/31/2012	NP12-12-000	RF	Unidentified Registered Entity	NCRXXXXX	\$7,500	SNOP	RFC2011001073	CIP-004-1	R3	Medium			X
1/31/2012	NP12-12-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$4,000	SNOP	MRO201100260	CIP-007-1	R1	Medium			X
12/30/2011	NP12-10-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$68,000	SNOP	SPP201000288	CIP-003-1	R1.1	Lower			X
12/30/2011	NP12-10-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$68,000	SNOP	SPP201000289	CIP-007-1	R1.3	Lower			X
12/30/2011	NP12-10-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$68,000	SNOP	SPP201000394	CIP-005-1	R1.5	Medium			X
12/30/2011	NP12-10-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$68,000	SNOP	SPP201000395	CIP-005-1	R2	Medium			X
12/30/2011	NP12-10-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$68,000	SNOP	SPP201000396	CIP-005-1	R3	Medium			X
12/30/2011	NP12-10-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$68,000	SNOP	SPP201000397	CIP-005-1	R4	Medium			X
12/30/2011	NP12-10-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$68,000	SNOP	SPP201000399	CIP-007-1	R2	Medium			X
12/30/2011	NP12-10-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$68,000	SNOP	SPP201000400	CIP-007-1	R3	Lower			X
12/30/2011	NP12-10-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$68,000	SNOP	SPP201000401	CIP-007-1	R5	Lower			X
12/30/2011	NP12-10-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$68,000	SNOP	SPP201000402	CIP-007-1	R6	Lower			X
12/30/2011	NP12-10-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$68,000	SNOP	SPP201000403	CIP-007-1	R8	Lower			X
12/30/2011	NP12-10-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$68,000	SNOP	SPP201000404	CIP-007-1	R9	Lower			X
12/30/2011	NP12-9-000	RF	Unidentified Registered Entity	NCRXXXXX	\$60,000		RFC200900298	CIP-004-1	R4	Lower			X
12/30/2011	NP12-10-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	NPCC201100223	CIP-004-1	R4	Medium			X
12/30/2011	NP12-10-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$15,000	SNOP	NPCC201100224	CIP-006-1	R1	Medium			X
12/30/2011	NP12-10-000	Texas RE	ExxonMobil Refining and Supply Company	NCR04058	\$13,000	SNOP	TRE201000123	CIP-001-1	R2	Medium			X
12/30/2011	NP12-10-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	TRE201000130	CIP-005-1	R2; R2.2	Medium			X
12/30/2011	NP12-10-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	TRE201000132	CIP-005-1	R2; R2.2	Medium			X

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12/30/2011	NP12-10-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	TRE201000131	CIP-005-1	R4; R4.1; R4.2; R4.4; R4.5	Medium			X
12/30/2011	NP12-10-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	TRE201000133	CIP-005-1	R4; R4.1; R4.2; R4.4; R4.5	Medium			X
12/30/2011	NP12-10-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	TRE201000227	CIP-007-1	R2; R2.1; R2.2; R2.3	Medium			X
12/30/2011	NP12-10-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	TRE201000233	CIP-007-1	R2; R2.1; R2.2; R2.3	Medium			X
12/30/2011	NP12-10-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	TRE201000230	CIP-007-1	R6; R6.2	Lower			X
12/30/2011	NP12-10-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	TRE201000236	CIP-007-1	R6; R6.2	Lower			X
12/30/2011	NP12-10-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	TRE201000232	CIP-007-1	R8; R8.1; R8.2; R8.3; R8.4	Lower			X
12/30/2011	NP12-10-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$10,000	SNOP	TRE201000238	CIP-007-1	R8; R8.1; R8.2; R8.3; R8.4	Lower			X
12/30/2011	NP12-10-000	RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX, NCRXXXXX, NCRXXXXX	\$6,000	SNOP	RFC201000391	CIP-006-2	R1; R1.6	Medium			X
12/30/2011	NP12-10-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$5,600	SNOP	WECC201102598	CIP-006-1	R1; R1.8	Lower			X
12/30/2011	NP12-10-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$5,000	SNOP	NPCC201100225	CIP-004-1	R4	Medium			X
12/30/2011	NP12-10-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$5,000	SNOP	NPCC201100226	CIP-006-1	R1	Medium			X
11/30/2011	NP12-4-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$160,000		WECC201002093	CIP-003-1	R1	Lower			X
11/30/2011	NP12-4-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$160,000		WECC201002105	CIP-007-1	R5	Medium			X
11/30/2011	NP12-4-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$160,000		WECC201002104	CIP-007-1	R4	Medium			X
11/30/2011	NP12-4-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$160,000		WECC201002103	CIP-007-1	R2	Medium			X
11/30/2011	NP12-4-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$160,000		WECC201002073	CIP-006-1	R2	Medium			X
11/30/2011	NP12-4-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$160,000		WECC201002101	CIP-005-1	R3	Medium			X
11/30/2011	NP12-4-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$160,000		WECC201002099	CIP-005-1	R1	Medium			X
11/30/2011	NP12-4-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$160,000		WECC201002098	CIP-004-1	R4	Medium			X
11/30/2011	NP12-4-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$160,000		WECC201002097	CIP-004-1	R3	Medium			X
11/30/2011	NP12-4-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$160,000		WECC201002100	CIP-005-1	R2	Medium			X
11/30/2011	NP12-4-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$160,000		WECC201002094	CIP-003-1	R4	Medium			X
11/30/2011	NP12-4-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$160,000		WECC201002092	CIP-002-1	R3	High			X
11/30/2011	NP12-4-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$160,000		WECC201002091	CIP-002-1	R2	High			X
11/30/2011	NP12-4-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$160,000		WECC201002090	CIP-002-1	R1	Lower			X
11/30/2011	NP12-4-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$160,000		WECC201002102	CIP-005-1	R4	Medium			X
11/30/2011	NP12-4-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$160,000		WECC201002096	CIP-004-1	R2	Lower			X
11/30/2011	NP12-3-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$125,000		WECC201002087	CIP-003-1	R5	Lower			X
11/30/2011	NP12-3-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$125,000		WECC201002240	CIP-006-1	R1	Medium			X
11/30/2011	NP12-3-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$125,000		WECC201002086	CIP-003-1	R4	Medium			X
11/30/2011	NP12-5-000	RF	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	RFC201000633	CIP-007-1	R1	Medium			X
11/30/2011	NP12-5-000	RF	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	RFC201000634	CIP-006-1	R4	Lower			X
11/30/2011	NP12-5-000	RF	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	RFC201000635	CIP-006-1	R1; R1.6	Medium			X
11/30/2011	NP12-5-000	RF	Unidentified Registered Entity	NCRXXXXX	\$40,000	SNOP	RFC201000639	CIP-004-1	R4; R4.2	Medium			X
11/30/2011	NP12-5-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC201100823	CIP-004-3	R4	Lower			X
11/30/2011	NP12-5-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC201100824	CIP-005-1	R1	Medium			X
11/30/2011	NP12-5-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC201100825	CIP-004-3	R2	Medium			X
11/30/2011	NP12-5-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC201100826	CIP-004-3	R3	Medium			X
11/30/2011	NP12-5-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC201100827	CIP-005-1	R1	Medium			X
11/30/2011	NP12-5-000	RF	Unidentified Registered Entity	NCRXXXXX	\$25,000	SNOP	RFC201100858	CIP-006-3c	R1	Medium			X
11/30/2011	NP12-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$18,200	SNOP	WECC201002064	CIP-004-2	R2	Lower			X
11/30/2011	NP12-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$18,200	SNOP	WECC200901949	CIP-004-1	R3	Lower			X
11/30/2011	NP12-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$18,200	SNOP	WECC201002009	CIP-006-1	R1	Lower			X
11/30/2011	NP12-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$6,000	SNOP	WECC201002418	CIP-007-1	R4	Medium			X
11/30/2011	NP12-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$6,000	SNOP	WECC201002419	CIP-007-1	R5	Lower			X
11/30/2011	NP12-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$6,000	SNOP	WECC201002433	CIP-006-2	R1	Medium			X
11/30/2011	NP12-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$6,000	SNOP	WECC201002907	CIP-006-2	R6	Lower			X
11/30/2011	NP12-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$6,000	SNOP	WECC201002443	CIP-007-2a	R3	Lower			X
11/30/2011	NP12-5-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$6,000	SNOP	WECC201002442	CIP-007-2a	R5	Lower			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000538	CIP-005-1	R5	Lower			X

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10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000572	CIP-003-1	R4	Medium			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000575	CIP-004-1	R4	Lower			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000576	CIP-005-1	R1	Medium			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000577	CIP-005-1	R2	Medium			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000578	CIP-005-1	R3	Medium			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000580	CIP-005-1	R5	Lower			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000581	CIP-007-1	R1	Medium			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000583	CIP-007-1	R3	Lower			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000585	CIP-007-1	R5	Medium			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000586	CIP-007-1	R6	Lower			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000530	CIP-003-1	R4	Medium			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000533	CIP-004-1	R4	Lower			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000534	CIP-005-1	R1	Medium			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000565	CIP-007-1	R6	Lower			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000554	CIP-004-1	R4	Lower			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000563	CIP-007-1	R4	Medium			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000562	CIP-007-1	R3	Lower			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000560	CIP-007-1	R1	Medium			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000559	CIP-005-1	R5	Lower			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000557	CIP-005-1	R3	Medium			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000535	CIP-005-1	R2	Medium			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000555	CIP-005-1	R1	Medium			X

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10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000536	CIP-005-1	R3	Medium			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000551	CIP-003-1	R4	Medium			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000544	CIP-007-1	R6	Lower			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000543	CIP-007-1	R5	Medium			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000541	CIP-007-1	R3	Lower			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000539	CIP-007-1	R1	Medium			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000564	CIP-007-1	R5	Medium			X
10/31/2011	NP12-1-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$275,000		RFC201000556	CIP-005-1	R2	Medium			X
10/31/2011	NP12-2-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	FRCC200900254	CIP-005-1	R2; R2.6	Lower			X
10/31/2011	NP12-2-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	FRCC200900317	CIP-005-1	R1	Medium			X
10/31/2011	NP12-2-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	FRCC201000314	CIP-002-1	R3	High			X
10/31/2011	NP12-2-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	FRCC201000315	CIP-006-1	R2	Medium			X
10/31/2011	NP12-2-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	FRCC201000382	CIP-007-1	R5; R5.3	Lower			X
10/31/2011	NP12-2-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	FRCC201000386	CIP-005-1	R2; R2.1; R2.2	Medium			X
10/31/2011	NP12-2-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	FRCC201000387	CIP-007-1	R2	Medium			X
10/31/2011	NP12-2-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	FRCC201000388	CIP-007-1	R5; R5.2	Medium			X
10/31/2011	NP12-2-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	FRCC201000389	CIP-007-1	R6; R6.2; R6.5	Lower			X
10/31/2011	NP12-2-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	FRCC201000410	CIP-007-1	R5	Lower			X
10/31/2011	NP12-2-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$55,000	SNOP	FRCC201100415	CIP-004-1	R2; R2.1	Medium			X
10/31/2011	NP12-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$37,000	SNOP	WECC200902018	CIP-005-1	R1; R1.5	Medium			X
10/31/2011	NP12-2-000	RF	Unidentified Registered Entity	NCRXXXXX	\$35,000	SNOP	RFC201100821	CIP-006-3c	R5	Medium			X
10/31/2011	NP12-2-000	RF	Unidentified Registered Entity	NCRXXXXX	\$35,000	SNOP	RFC201100859	CIP-007-3	R5	Lower			X
10/31/2011	NP12-2-000	RF	Unidentified Registered Entity	NCRXXXXX	\$35,000	SNOP	RFC201100860	CIP-006-3c	R1	Medium			X
10/31/2011	NP12-2-000	RF	Unidentified Registered Entity	NCRXXXXX	\$35,000	SNOP	RFC201100861	CIP-006-2	R2	Medium			X
10/31/2011	NP12-2-000	RF	Unidentified Registered Entity	NCRXXXXX	\$35,000	SNOP	RFC201100862	CIP-006-3c	R6	Lower			X
10/31/2011	NP12-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$27,000	SNOP	WECC201002191	CIP-002-1	R2	High			X
10/31/2011	NP12-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$27,000	SNOP	WECC201002192	CIP-002-1	R4	Lower			X
10/31/2011	NP12-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$27,000	SNOP	WECC201002351	CIP-003-2	R1	Lower			X
10/31/2011	NP12-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$27,000	SNOP	WECC201002371	CIP-003-1	R2	Medium			X
10/31/2011	NP12-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$27,000	SNOP	WECC201002368	CIP-004-1	R2	Medium			X
10/31/2011	NP12-2-000	RF	Unidentified Registered Entity	NCRXXXXX	\$17,000	SNOP	RFC201000437	CIP-004-2	R2.1	Medium			X
10/31/2011	NP12-2-000	RF	Unidentified Registered Entity	NCRXXXXX	\$17,000	SNOP	RFC201000438	CIP-004-1	R4	Medium			X
10/31/2011	NP12-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$8,200	SNOP	WECC201102640	CIP-007-1	R5	Lower			X
10/31/2011	NP12-2-000	RF	Unidentified Registered Entity	NCRXXXXX	\$5,000	SNOP	RFC201000696	CIP-006-3c	R1	Medium			X
10/31/2011	NP12-2-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	SNOP	MRO201000197	CIP-007-1	R2	Medium			X
9/30/2011	NP11-268-000	Texas RE	Electric Reliability Council of Texas, Inc.	NCR04056	\$384,000		TRE200800052	CIP-001-1	R1	Medium			X
9/30/2011	NP11-269-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$225,000		WECC201001966	CIP-004-1	R2; R2.3	Lower			X
9/30/2011	NP11-269-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$225,000		WECC201001965	CIP-003-1	R1	Lower			X
9/30/2011	NP11-269-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$225,000		WECC201001967	CIP-004-1	R4	Lower			X
9/30/2011	NP11-269-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$225,000		WECC201001964	CIP-007-1	R1	Medium			X
9/30/2011	NP11-269-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$225,000		WECC201002011	CIP-007-1	R2	Medium			X
9/30/2011	NP11-270-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$90,000	SNOP	WECC201001887	CIP-001-1	R1	Medium			X
9/30/2011	NP11-270-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$90,000	SNOP	WECC201001888	CIP-001-1	R2	Medium			X
9/30/2011	NP11-270-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$90,000	SNOP	WECC201001889	CIP-001-1	R3	Medium			X
9/30/2011	NP11-270-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$90,000	SNOP	WECC201001890	CIP-001-1	R4	Medium			X
9/30/2011	NP11-270-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$90,000	SNOP	WECC201002056	CIP-002-1	R1	Medium			X
9/30/2011	NP11-270-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$90,000	SNOP	WECC201002057	CIP-002-1	R2	High			X
9/30/2011	NP11-270-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$90,000	SNOP	WECC201002058	CIP-002-1	R3	High			X
9/30/2011	NP11-270-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$90,000	SNOP	WECC201002059	CIP-002-1	R4	Lower			X
9/30/2011	NP11-270-000	RF	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	RFC201000692	CIP-005-1	R3; R3.2	Medium			X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$ (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.))	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
9/30/2011	NP11-270-000	RF	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	RFC201000693	CIP-007-1	R2; R2.1; R2.2	Medium			X
9/30/2011	NP11-270-000	RF	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	RFC201000694	CIP-007-1	R5	Lower			X
9/30/2011	NP11-270-000	RF	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	RFC201100752	CIP-006-1	R1; R1.4; R1.7	Medium			X
9/30/2011	NP11-270-000	RF	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	RFC201100753	CIP-008-2	R1	Lower			X
9/30/2011	NP11-270-000	RF	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	RFC201100754	CIP-009-1	R1	Medium			X
9/30/2011	NP11-270-000	RF	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	RFC201000393	CIP-004-1	R4; R4.2	Medium			X
9/30/2011	NP11-270-000	RF	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	RFC201000394	CIP-006-1	R2	Medium			X
9/30/2011	NP11-270-000	RF	Unidentified Registered Entity	NCRXXXXX	\$30,000	SNOP	RFC201000773	CIP-004-1	R3	Medium			X
9/30/2011	NP11-270-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$20,400	SNOP	WECC201002367	CIP-006-1	R1	Medium			X
9/30/2011	NP11-270-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$20,400	SNOP	WECC201002323	CIP-006-1	R6	Medium			X
9/30/2011	NP11-270-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$20,400	SNOP	WECC201002324	CIP-007-1	R5	Lower			X
9/30/2011	NP11-270-000	RF	Unidentified Registered Entity	NCRXXXXX	\$16,500	SNOP	RFC201000395	CIP-002-1	R3	High			X
9/30/2011	NP11-270-000	RF	Unidentified Registered Entity	NCRXXXXX	\$16,500	SNOP	RFC201000398	CIP-007-1	R1	Medium			X
9/30/2011	NP11-270-000	RF	Unidentified Registered Entity	NCRXXXXX	\$16,500	SNOP	RFC201000399	CIP-008-1	R1.6	Lower			X
9/30/2011	NP11-270-000	SPP RE	Lubbock Power And Light	NCR06048	\$14,000	SNOP	SPP201100529	CIP-001-1	R1	Medium			X
9/30/2011	NP11-270-000	WECC	Thermo Power and Electric LLC	NCR05425	\$10,000	SNOP	WECC200901621	CIP-001-1	R1	Medium			X
9/30/2011	NP11-270-000	WECC	Thermo Power and Electric LLC	NCR05425	\$10,000	SNOP	WECC200901622	CIP-001-1	R2	Medium			X
9/30/2011	NP11-270-000	WECC	Thermo Power and Electric LLC	NCR05425	\$10,000	SNOP	WECC200901623	CIP-001-1	R3	Medium			X
9/30/2011	NP11-270-000	WECC	Electrical District No. 2	NCR05142	\$6,500	SNOP	WECC201002329	CIP-001-1	R1	Medium			X
9/30/2011	NP11-270-000	WECC	Electrical District No. 2	NCR05142	\$6,500	SNOP	WECC201002330	CIP-001-1	R2	Medium			X
9/30/2011	NP11-270-000	WECC	Electrical District No. 2	NCR05142	\$6,500	SNOP	WECC201002331	CIP-001-1	R3	Medium			X
9/30/2011	NP11-270-000	WECC	Electrical District No. 2	NCR05142	\$6,500	SNOP	WECC201002332	CIP-001-1	R4	Medium			X
9/30/2011	NP11-270-000	RF	Unidentified Registered Entity	NCRXXXXX	\$6,000	SNOP	RFC201000457	CIP-005-1	R3 (R3.2)	Medium			X
9/30/2011	NP11-270-000	RF	Unidentified Registered Entity	NCRXXXXX	\$1,000	SNOP	RFC201000689	CIP-004-2	R4 (R4.1)	Lower			X
8/31/2011	NP11-261-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC200900279	CIP-002-1	R3.1	Lower			X
8/31/2011	NP11-261-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC201000379	CIP-006-1	R1	Medium			X
8/31/2011	NP11-261-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC201000650	CIP-004-1	R3	Medium			X
8/31/2011	NP11-261-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC201000649	CIP-004-1	R2.1	Medium			X
8/31/2011	NP11-261-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC201000371	CIP-006-1	R2	Medium			X
8/31/2011	NP11-261-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC201000280	CIP-004-1	R4.2	Medium			X
8/31/2011	NP11-261-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC201000615	CIP-007-1	R6.3	Medium			X
8/31/2011	NP11-261-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC201000648	CIP-003-1	R5	Lower			X
8/31/2011	NP11-266-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$38,000	ACP	FRCC200900245	CIP-004-1	R4	Lower			X
8/31/2011	NP11-266-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$38,000	ACP	FRCC200900265	CIP-005-1	R2.1	Medium			X
8/31/2011	NP11-266-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$38,000	ACP	FRCC200900298	CIP-004-1	R2.1	Medium (NERC database states R2 Lower)			X
8/31/2011	NP11-266-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$38,000	ACP	FRCC200900299	CIP-004-1	R3	Medium			X
8/31/2011	NP11-266-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$38,000	ACP	FRCC200900300	CIP-006-1	R1.8	Lower			X
8/31/2011	NP11-266-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$38,000	ACP	FRCC200900301	CIP-007-1	R1.1	Medium			X
8/31/2011	NP11-266-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$38,000	ACP	FRCC200900302	CIP-007-1	R2.1	Medium			X
8/31/2011	NP11-266-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$38,000	ACP	FRCC201000350	CIP-002-1	R3	High			X
8/31/2011	NP11-266-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$38,000	ACP	FRCC201000351	CIP-003-1	R1.2	Lower			X
8/31/2011	NP11-266-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$38,000	ACP	FRCC201000393	CIP-003-1	R1.2	Lower			X
8/31/2011	NP11-265-000	SPP RE	Cleco Corporation	NCR01083	\$27,000		SPP201000261	CIP-001-1	R1	Medium			X
8/31/2011	NP11-260-000	SPP RE	Louisiana Energy and Power Authority	NCR01116	\$25,000		SPP200900072	CIP-001-1	R2	Medium			X
8/31/2011	NP11-260-000	SPP RE	Louisiana Energy and Power Authority	NCR01116	\$25,000		SPP200900071	CIP-001-1	R1	Medium			X
8/31/2011	NP11-262-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$12,000		SPP201000273	CIP-003-1	R1	Medium			X
8/31/2011	NP11-262-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$12,000		SPP201000276	CIP-007-1	R1	Medium			X
8/31/2011	NP11-262-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$12,000		SPP201000269	CIP-002-1	R1	Lower			X
8/31/2011	NP11-262-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$12,000		SPP201000275	CIP-004-2	R2	Lower			X
8/31/2011	NP11-262-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$12,000		SPP201000270	CIP-002-1	R3	Lower			X
8/31/2011	NP11-263-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$11,000		TREXXXXXX079	CIP-004-1	R3	Medium			X
8/31/2011	NP11-263-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$11,000		TREXXXXXX080	CIP-004-1	R4	Lower			X
8/31/2011	NP11-263-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$11,000		TREXXXXXX067	CIP-007-1	R1	Medium			X
8/31/2011	NP11-263-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$11,000		TREXXXXXX320	CIP-002-1	R3	High			X
8/31/2011	NP11-263-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$11,000		TREXXXXXX321	CIP-004-1	R2.2.4	Lower			X
8/31/2011	NP11-266-000	SPP RE, RF	Unidentified Registered Entity	NCRXXXXX	\$10,000	ACP	SPP200900152	CIP-003-1	R1.1	Lower			X
8/31/2011	NP11-266-000	SPP RE, RF	Unidentified Registered Entity	NCRXXXXX	\$10,000	ACP	RFC200900323	CIP-003-1	R1.1	Lower			X
8/31/2011	NP11-266-000	SPP RE, RF	Unidentified Registered Entity	NCRXXXXX	\$10,000	ACP	SPP200900153	CIP-003-1	R2	Medium			X
8/31/2011	NP11-266-000	SPP RE, RF	Unidentified Registered Entity	NCRXXXXX	\$10,000	ACP	RFC200900324	CIP-003-1	R2	Medium			X

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8/31/2011	NP11-266-000	SPP RE, RF	Unidentified Registered Entity	NCRXXXXX	\$10,000	ACP	SPP200900154	CIP-004-1	R2.2	Medium			X
8/31/2011	NP11-266-000	SPP RE, RF	Unidentified Registered Entity	NCRXXXXX	\$10,000	ACP	RFC200900325	CIP-004-1	R2.2	Medium			X
8/31/2011	NP11-266-000	SPP RE, RF	Unidentified Registered Entity	NCRXXXXX	\$10,000	ACP	SPP200900155	CIP-004-1	R4.1	Lower			X
8/31/2011	NP11-266-000	SPP RE, RF	Unidentified Registered Entity	NCRXXXXX	\$10,000	ACP	RFC200900326	CIP-004-1	R4.1	Lower			X
8/31/2011	NP11-266-000	SPP RE, RF	Unidentified Registered Entity	NCRXXXXX	\$10,000	ACP	SPP200900157	CIP-008-1	R1 (R1.1, R1.4)	Lower			X
8/31/2011	NP11-266-000	SPP RE, RF	Unidentified Registered Entity	NCRXXXXX	\$10,000	ACP	RFC200900328	CIP-008-1	R1 (R1.1, R1.4)	Lower			X
8/31/2011	NP11-266-000	SPP RE, RF	Unidentified Registered Entity	NCRXXXXX	\$10,000	ACP	SPP200900158	CIP-009-1	R1.1	Medium			X
8/31/2011	NP11-266-000	SPP RE, RF	Unidentified Registered Entity	NCRXXXXX	\$10,000	ACP	RFC200900329	CIP-009-1	R1.1	Medium			X
8/31/2011	NP11-266-000	SPP RE, RF	Unidentified Registered Entity	NCRXXXXX	\$10,000	ACP	SPP200900159	CIP-009-1	R2	Lower			X
8/31/2011	NP11-266-000	SPP RE, RF	Unidentified Registered Entity	NCRXXXXX	\$10,000	ACP	RFC200900330	CIP-009-1	R2	Lower			X
8/31/2011	NP11-264-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$8,000		SPP201000313	CIP-004-1	R4	Lower			X
8/31/2011	NP11-264-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$8,000		SPP201000315	CIP-008-1	R1	Lower			X
8/31/2011	NP11-264-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$8,000		SPP200900146	CIP-002-1	R1	Lower			X
8/31/2011	NP11-264-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$8,000		SPP201000314	CIP-007-1	R5	Medium			X
8/31/2011	NP11-264-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$8,000		SPP201000309	CIP-002-1	R3	High			X
8/31/2011	NP11-264-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$8,000		SPP201000312	CIP-004-1	R3	Medium			X
8/31/2011	NP11-264-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$8,000		SPP201000311	CIP-004-1	R2	Medium			X
8/31/2011	NP11-264-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$8,000		SPP201000310	CIP-003-1	R1	Medium			X
8/31/2011	NP11-264-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$8,000		SPP201000316	CIP-009-1	R2	Lower			X
8/31/2011	NP11-266-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$6,000	ACP	NPCC201000169	CIP-006-1	R1.6	Medium			X
8/31/2011	NP11-266-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$6,000	ACP	NPCC201000170	CIP-007-2a	R3.1	Lower			X
8/31/2011	NP11-266-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$6,000	ACP	NPCC201000171	CIP-007-2a	R5	Lower			X
8/31/2011	NP11-266-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$6,000	ACP	NPCC201000172	CIP-007-2a	R7.2	Lower			X
8/31/2011	NP11-266-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$6,000	ACP	SPP200900136	CIP-006-1	R1.6	Medium			X
8/31/2011	NP11-266-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$3,500	ACP	NPCC201100245	CIP-004-3	R4.2	Medium			X
8/31/2011	NP11-266-000	SERC	City of Camden	NCR01195	\$0	ACP	SERC201000557	CIP-001-1	R1	Medium			X
8/31/2011	NP11-266-000	SERC	City of Camden	NCR01195	\$0	ACP	SERC201000558	CIP-001-1	R2	Medium			X
8/31/2011	NP11-266-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	SERC201000726	CIP-003-1	R2	Medium			X
8/31/2011	NP11-266-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	SERC201100765	CIP-002-1	R1	Medium			X
7/29/2011	NP11-253-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$14,000	ACP	FRCC201000381	CIP-006-1	R1.1	Medium			X
7/29/2011	NP11-253-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$14,000	ACP	FRCC201000396	CIP-007-2a	R3.1	Lower			X
7/29/2011	NP11-253-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$14,000	ACP	FRCC200900296	CIP-007-1	R1	Medium			X
7/29/2011	NP11-253-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$14,000	ACP	FRCC200900134	CIP-004-1	R2 (R2.1, R2.3)	Medium			X
7/29/2011	NP11-253-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$14,000	ACP	FRCC200900135	CIP-004-1	R3	Medium			X
7/29/2011	NP11-253-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$7,500	ACP	NPCC201000214	CIP-005-2	R3.2	Medium			X
7/29/2011	NP11-253-000	NPCC	Boralex Stratton Energy, LP	NCR10352	\$5,000	ACP	NPCC201000209	CIP-001-1	R1	Medium			X
7/29/2011	NP11-253-000	NPCC	Boralex Stratton Energy, LP	NCR10352	\$5,000	ACP	NPCC201000210	CIP-001-1	R2	Medium			X
7/29/2011	NP11-253-000	NPCC	Boralex Stratton Energy, LP	NCR10352	\$5,000	ACP	NPCC201000211	CIP-001-1	R3	Medium			X
7/29/2011	NP11-253-000	NPCC	Boralex Stratton Energy, LP	NCR10352	\$5,000	ACP	NPCC201000212	CIP-001-1	R4	Medium			X
7/29/2011	NP11-253-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$5,000	ACP	NPCC201000215	CIP-003-1	R1.2	Lower			X
7/29/2011	NP11-253-000	SERC	Haywood Electric Membership Corporation	NCR10293	\$0	ACP	SERC201100761	CIP-001-1	R1	Medium			X
7/29/2011	NP11-253-000	SERC	Haywood Electric Membership Corporation	NCR10293	\$0	ACP	SERC201100764	CIP-001-1	R2	Medium			X
7/29/2011	NP11-253-000	SERC	Haywood Electric Membership Corporation	NCR10293	\$0	ACP	SERC201100763	CIP-001-1	R3	Medium			X
7/29/2011	NP11-253-000	SERC	Haywood Electric Membership Corporation	NCR10293	\$0	ACP	SERC201100762	CIP-001-1	R4	Medium			X
7/29/2011	NP11-253-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	NPCC201100250	CIP-007-3	R3	Lower			X
7/29/2011	NP11-253-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	NPCC201100251	CIP-007-3	R4	Lower			X
7/29/2011	NP11-253-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	MRO201100248	CIP-004-1	R4.2	Lower			X
7/29/2011	NP11-253-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	MRO201100277	CIP-008-2	R1	Lower			X
7/29/2011	NP11-253-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	SERC201000716	CIP-002-1	R1	Medium			X
7/29/2011	NP11-253-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	SERC201000717	CIP-003-1	R2	Lower			X
7/29/2011	NP11-253-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	SERC201000697	CIP-002-1	R1	Medium			X
7/29/2011	NP11-253-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	SERC201000699	CIP-003-1	R2	Lower			X
7/29/2011	NP11-253-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	SERC201000719	CIP-002-1	R1	Medium			X
7/29/2011	NP11-253-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	SERC201000721	CIP-003-1	R2	Lower			X
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201100726	CIP-004-2	R2	Medium			X
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201000594	CIP-004-2	R2.1	Medium			X
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201000661	CIP-007-2	R5.2.3	Medium			X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$ (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.))	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201000596	CIP-005-1	R1	Medium			X
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201000425	CIP-007-1	R6	Lower			X
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201000228	CIP-006-1	R1.1	Medium			X
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201100729	CIP-004-2	R2	Medium			X
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201100732	CIP-004-3	R3	Medium			X
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201000604	CIP-007-2a	R1	Medium			X
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201000599	CIP-007-1	R3.1	Lower			X
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201000595	CIP-004-1	R4.2	Medium			X
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201000603	CIP-006-2	R1	Medium			X
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201000597	CIP-006-2	R1	Medium			X
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201000424	CIP-007-1	R6	Lower			X
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201000602	CIP-005-1	R1	Medium			X
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201100728	CIP-004-2	R4	Medium			X
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201000601	CIP-004-1	R4.2	Medium			X
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201000598	CIP-007-2a	R1	Medium			X
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201000229	CIP-005-1	R2	Medium			X
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201100727	CIP-004-2	R3	Medium			X
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201100730	CIP-004-2	R3	Medium			X
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201000231	CIP-006-1	R1.1	Medium			X
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201100731	CIP-004-2	R4	Medium			X
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201000230	CIP-005-1	R3	Medium			X
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201000226	CIP-005-1	R2	Medium			X
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201000605	CIP-007-1	R3.1	Lower			X
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201000227	CIP-005-1	R3	Medium			X
7/28/2011	NP11-237-000	RF	Unidentified Registered Entity	NCRXXXXX	\$180,000		RFC201000600	CIP-004-2	R2.1	Medium			X
7/28/2011	NP11-229-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$75,000		WECC201001844	CIP-002-1	R3	High			X
7/28/2011	NP11-229-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$75,000		WECC200901818	CIP-007-1	R1	Medium			X
7/28/2011	NP11-229-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$75,000		WECC201001847	CIP-003-1	R3	Lower			X
7/28/2011	NP11-229-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$75,000		WECC201001874	CIP-009-1	R1	Medium			X
7/28/2011	NP11-229-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$75,000		WECC201001846	CIP-003-1	R2	Medium			X
7/28/2011	NP11-229-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$75,000		WECC201001845	CIP-003-1	R1	Medium			X
7/28/2011	NP11-229-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$75,000		WECC201001843	CIP-002-1	R1	Medium			X
7/28/2011	NP11-233-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$70,000		WECC201002282	CIP-007-1	R8	Medium			X
7/28/2011	NP11-233-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$70,000		WECC201002106	CIP-006-1	R3	Medium			X
7/28/2011	NP11-233-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$70,000		WECC201002155	CIP-007-1	R1	Medium			X
7/28/2011	NP11-241-000	NPCC	Dynegy Inc.	NCR00200	\$50,000		NPCC200900093	CIP-001-1	R2	Medium			X
7/28/2011	NP11-234-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$35,000		WECC201002083	CIP-005-1	R1	Medium			X
7/28/2011	NP11-234-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$35,000		WECC201002077	CIP-007-1	R3	Lower			X
7/28/2011	NP11-234-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$35,000		WECC201002085	CIP-005-1	R3	Medium			X
7/28/2011	NP11-243-000	RF	Unidentified Registered Entity	NCRXXXXX	\$20,000		RFC201000382	CIP-004-2	R4	Lower			X
7/28/2011	NP11-243-000	RF	Unidentified Registered Entity	NCRXXXXX	\$20,000		RFC201000381	CIP-004-2	R3	Medium			X
7/28/2011	NP11-243-000	RF	Unidentified Registered Entity	NCRXXXXX	\$20,000		RFC201000380	CIP-004-2	R2.1	Medium			X
7/28/2011	NP11-249-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$18,000		WECC201002233	CIP-007-1	R4	Lower			X
7/28/2011	NP11-249-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$18,000		WECC201002232	CIP-007-1	R2	Medium			X
7/28/2011	NP11-249-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$18,000		WECC201002230	CIP-006-1	R1.1	Medium			X
7/28/2011	NP11-249-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$18,000		WECC201002234	CIP-007-1	R5	Medium			X
7/28/2011	NP11-230-000	RF	Unidentified Registered Entity	NCRXXXXX	\$18,000		RFC201000274	CIP-006-1	R1.1	Medium			X
7/28/2011	NP11-230-000	RF	Unidentified Registered Entity	NCRXXXXX	\$18,000		RFC201000277	CIP-007-1	R5.2.1	Medium			X
7/28/2011	NP11-230-000	RF	Unidentified Registered Entity	NCRXXXXX	\$18,000		RFC201000273	CIP-005-1	R2.4	Medium			X
7/28/2011	NP11-230-000	RF	Unidentified Registered Entity	NCRXXXXX	\$18,000		RFC201000278	CIP-007-1	R5.2.3	Medium			X
7/28/2011	NP11-247-000	RF	Unidentified Registered Entity	NCRXXXXX	\$15,000		RFC201000332	CIP-006-1	R5	Lower			X
7/28/2011	NP11-247-000	RF	Unidentified Registered Entity	NCRXXXXX	\$15,000		RFC201000678	CIP-004-1	R4	Lower			X
7/28/2011	NP11-247-000	RF	Unidentified Registered Entity	NCRXXXXX	\$15,000		RFC201000378	CIP-005-1	R2.6	Lower			X
7/28/2011	NP11-247-000	RF	Unidentified Registered Entity	NCRXXXXX	\$15,000		RFC201000679	CIP-006-1	R5	Lower			X
7/28/2011	NP11-247-000	RF	Unidentified Registered Entity	NCRXXXXX	\$15,000		RFC201000680	CIP-006-1	R3	Medium			X
7/28/2011	NP11-250-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$12,600		WECC201002283	CIP-006-1	R1	Medium			X
7/28/2011	NP11-250-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$12,600		WECC201002372	CIP-004-2	R2	Medium			X
7/28/2011	NP11-251-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$7,000		WECC201002031	CIP-006-1	R1.1	Medium			X
7/28/2011	NP11-248-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$5,000		WECC200902055	CIP-007-1	R3.1	Lower			X
7/28/2011	NP11-238-000	SPP RE	Southwestern Power Administration	NCR01144	No Penalty		SPP200900097	CIP-004-1	R2	Medium			X
7/28/2011	NP11-238-000	SPP RE	Southwestern Power Administration	NCR01144	No Penalty		SPP200900098	CIP-004-1	R3	Lower			X
7/28/2011	NP11-238-000	SPP RE	Southwestern Power Administration	NCR01144	No Penalty		SPP200900099	CIP-004-1	R4	Lower			X
7/28/2011	NP11-238-000	SPP RE	Southwestern Power Administration	NCR01144	No Penalty		SPP200900161	CIP-007-1	R1	Medium			X
6/30/2011	NP11-228-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$4,000	ACP	SPP200900186	CIP-004-1	R2 (R2.2, R2.2.1 - R2.2.4)	Lower			X
6/30/2011	NP11-228-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$3,000	ACP	SPP200900190	CIP-007-1	R1 (R1.1 - R1.3)	Medium			X

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6/30/2011	NP11-228-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$3,000	ACP	SPP200900191	CIP-007-1	R5.2.3	Medium			X
6/30/2011	NP11-228-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$3,000	ACP	SPP200900193	CIP-009-1	R1, R1.1	Medium			X
6/30/2011	NP11-228-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$700	ACP	SPP200900188	CIP-004-1	R4	Lower			X
6/30/2011	NP11-228-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	SPP201000290	CIP-008-1	R1 (R1.6)	Lower			X
6/30/2011	NP11-228-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	SPP201000291	CIP-009-1	R2	Lower			X
6/30/2011	NP11-228-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	SPP200900110	CIP-006-1	R3 (R3.1, R3.2)	Medium			X
6/30/2011	NP11-228-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	RFC201000531	CIP-003-1	R5.2; R5.3	Lower			X
6/30/2011	NP11-228-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	RFC201000573	CIP-003-1	R5.2; R5.3	Lower			X
6/30/2011	NP11-228-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	RFC201000558	CIP-005-1	R4	Medium			X
6/30/2011	NP11-228-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	RFC201000537	CIP-005-1	R4	Medium			X
6/30/2011	NP11-228-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	RFC201000579	CIP-005-1	R4	Medium			X
6/30/2011	NP11-228-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	RFC201000566	CIP-007-1	R8	Lower			X
6/30/2011	NP11-228-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	RFC201000545	CIP-007-1	R8	Lower			X
6/30/2011	NP11-228-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	RFC201000587	CIP-007-1	R8	Lower			X
6/30/2011	NP11-228-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	RFC201000567	CIP-007-1	R9	Lower			X
6/30/2011	NP11-228-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	RFC201000546	CIP-007-1	R9	Lower			X
6/30/2011	NP11-228-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	RFC201000588	CIP-007-1	R9	Lower			X
6/30/2011	NP11-228-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	RFC201000568	CIP-008-1	R1.6	Lower			X
6/30/2011	NP11-228-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	RFC201000547	CIP-008-1	R1.6	Lower			X
6/30/2011	NP11-228-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	RFC201000589	CIP-008-1	R1.6	Lower			X
6/30/2011	NP11-228-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	RFC201000569	CIP-009-1	R2	Lower			X
6/30/2011	NP11-228-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	RFC201000548	CIP-009-1	R2	Lower			X
6/30/2011	NP11-228-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	RFC201000590	CIP-009-1	R2	Lower			X
6/30/2011	NP11-228-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	RFC201000571	CIP-009-1	R5	Lower			X
6/30/2011	NP11-228-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	RFC201000550	CIP-009-1	R5	Lower			X
6/30/2011	NP11-228-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	RFC201000552	CIP-009-1	R5	Lower			X
6/30/2011	NP11-228-000	RF	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	RFC201000552	CIP-003-1	R5.2; R5.3	Lower			X
6/29/2011	NP11-212-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$381,600		WECC200902081	CIP-007-1	R8	Medium			X
6/29/2011	NP11-212-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$381,600		WECC200902079	CIP-004-1	R3	Medium			X
6/29/2011	NP11-212-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$381,600		WECC201002082	CIP-005-1	R2	Medium			X
6/29/2011	NP11-212-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$381,600		WECC201002088	CIP-005-1	R3	Medium			X
6/29/2011	NP11-212-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$381,600		WECC201002080	CIP-007-1	R2	Medium			X
6/29/2011	NP11-212-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$381,600		WECC201002288	CIP-004-1	R2	Lower			X
6/29/2011	NP11-213-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$143,500		WECC201001856	CIP-003-1	R1	Medium			X
6/29/2011	NP11-213-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$143,500		WECC200901775	CIP-007-1	R6	Lower			X
6/29/2011	NP11-213-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$143,500		WECC200901773	CIP-007-1	R5	Lower			X
6/29/2011	NP11-213-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$143,500		WECC201001857	CIP-004-1	R2	Medium			X
6/29/2011	NP11-213-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$143,500		WECC201001858	CIP-004-1	R3	Medium			X
6/29/2011	NP11-213-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$143,500		WECC201001859	CIP-004-1	R4	Lower			X
6/29/2011	NP11-213-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$143,500		WECC201001860	CIP-007-1	R1	Medium			X
6/29/2011	NP11-213-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$143,500		WECC201001862	CIP-009-1	R2	Lower			X
6/29/2011	NP11-213-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$143,500		WECC200901774	CIP-005-1	R3	Medium			X
6/29/2011	NP11-213-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$143,500		WECC201001861	CIP-009-1	R1	Medium			X
6/29/2011	NP11-218-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$130,000		WECC200901868	CIP-006-1	R4	Lower			X
6/29/2011	NP11-218-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$130,000		WECC200901499	CIP-001-1	R2	Medium			X
6/29/2011	NP11-218-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$130,000		WECC200901500	CIP-001-1	R3	Medium			X
6/29/2011	NP11-218-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$130,000		WECC200901490	CIP-007-1	R1	Lower			X
6/29/2011	NP11-218-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$130,000		WECC200901867	CIP-006-1	R2	Medium			X
6/29/2011	NP11-218-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$130,000		WECC200901597	CIP-003-1	R4	Lower			X
6/29/2011	NP11-218-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$130,000		WECC200901555	CIP-004-1	R4	Medium			X
6/29/2011	NP11-218-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$130,000		WECC200901489	CIP-004-1	R3	Lower			X
6/29/2011	NP11-218-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$130,000		WECC200901722	CIP-004-1	R3	Lower			X
6/29/2011	NP11-218-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$130,000		WECC200901596	CIP-003-1	R1	Lower			X
6/29/2011	NP11-218-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$130,000		WECC200901595	CIP-002-1	R3	High			X
6/29/2011	NP11-218-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$130,000		WECC200901498	CIP-001-1	R1	Medium			X
6/29/2011	NP11-218-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$130,000		WECC200901594	CIP-002-1	R2	High			X
6/29/2011	NP11-226-000	RF	Unidentified Registered Entity	NCRXXXXX	\$85,000		RFC201000659	CIP-006-2	R5	Medium			X
6/29/2011	NP11-226-000	RF	Unidentified Registered Entity	NCRXXXXX	\$85,000		RFC201000240	CIP-004-1	R4.2	Medium			X
6/29/2011	NP11-226-000	RF	Unidentified Registered Entity	NCRXXXXX	\$85,000		RFC201000683	CIP-006-3c	R6	Lower			X
6/29/2011	NP11-226-000	RF	Unidentified Registered Entity	NCRXXXXX	\$85,000		RFC201000682	CIP-006-3c	R5	Medium			X
6/29/2011	NP11-226-000	RF	Unidentified Registered Entity	NCRXXXXX	\$85,000		RFC201000660	CIP-006-2	R6	Lower			X
6/29/2011	NP11-226-000	RF	Unidentified Registered Entity	NCRXXXXX	\$85,000		RFC201000658	CIP-006-2	R4	Medium			X
6/29/2011	NP11-226-000	RF	Unidentified Registered Entity	NCRXXXXX	\$85,000		RFC201000435	CIP-007-1	R6	Lower			X
6/29/2011	NP11-226-000	RF	Unidentified Registered Entity	NCRXXXXX	\$85,000		RFC201000432	CIP-006-1	R1.8	Lower			X
6/29/2011	NP11-226-000	RF	Unidentified Registered Entity	NCRXXXXX	\$85,000		RFC201000295	CIP-006-1	R3	Medium			X
6/29/2011	NP11-226-000	RF	Unidentified Registered Entity	NCRXXXXX	\$85,000		RFC201000241	CIP-006-1	R1.2	Medium			X
6/29/2011	NP11-226-000	RF	Unidentified Registered Entity	NCRXXXXX	\$85,000		RFC201000234	CIP-004-1	R4.2	Medium			X

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6/29/2011	NP11-226-000	RF	Unidentified Registered Entity	NCRXXXXX	\$85,000		RFC201000681	CIP-006-3c	R4	Medium			X
6/29/2011	NP11-206-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$80,000		NPCC200900115	CIP-004-1	R4	Medium			X
6/29/2011	NP11-206-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$80,000		NPCC201000147	CIP-004-1	R2	Medium			X
6/29/2011	NP11-206-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$80,000		NPCC200900105	CIP-006-1	R2	Medium			X
6/29/2011	NP11-206-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$80,000		NPCC201000149	CIP-004-1	R4	Lower			X
6/29/2011	NP11-206-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$80,000		NPCC201000150	CIP-004-1	R4	Medium			X
6/29/2011	NP11-206-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$80,000		NPCC201000152	CIP-006-1	R2	Medium			X
6/29/2011	NP11-206-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$80,000		NPCC200900096	CIP-006-1	R2	Medium			X
6/29/2011	NP11-206-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$80,000		NPCC200900088	CIP-004-1	R4	Medium			X
6/29/2011	NP11-206-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$80,000		NPCC200900089	CIP-004-1	R4	Medium			X
6/29/2011	NP11-206-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$80,000		NPCC200900103	CIP-004-1	R4	Medium			X
6/29/2011	NP11-206-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$80,000		NPCC200900104	CIP-006-1	R2	Medium			X
6/29/2011	NP11-206-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$80,000		NPCC201000181	CIP-004-2	R4	Medium			X
6/29/2011	NP11-206-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$80,000		NPCC201000146	CIP-004-1	R4	Lower			X
6/29/2011	NP11-206-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$80,000		NPCC200900114	CIP-006-1	R2	Medium			X
6/29/2011	NP11-206-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$80,000		NPCC201000156	CIP-006-2	R2	Medium			X
6/29/2011	NP11-206-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$80,000		NPCC201000151	CIP-004-1	R4	Medium			X
6/29/2011	NP11-206-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$80,000		NPCC200900091	CIP-004-1	R4	Medium			X
6/29/2011	NP11-206-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$80,000		NPCC201000182	CIP-004-2	R4	Medium			X
6/29/2011	NP11-206-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$80,000		NPCC200900090	CIP-004-1	R4	Medium			X
6/29/2011	NP11-206-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$80,000		NPCC201000148	CIP-004-1	R3	Medium			X
6/29/2011	NP11-206-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$80,000		NPCC200900092	CIP-006-1	R2	Medium			X
6/29/2011	NP11-204-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$37,500		WECC200901690	CIP-005-1	R2	Medium			X
6/29/2011	NP11-204-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$37,500		WECC200901666	CIP-003-1	R3	Lower			X
6/29/2011	NP11-204-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$37,500		WECC200901753	CIP-006-1	R1	Medium			X
6/29/2011	NP11-204-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$37,500		WECC200901700	CIP-007-1	R5	Lower			X
6/29/2011	NP11-223-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$30,000		SPP200900149	CIP-003-1	R1	Lower			X
6/29/2011	NP11-205-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$22,000		WECC201001916	CIP-003-1	R1	Lower			X
6/29/2011	NP11-205-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$22,000		WECC201001913	CIP-002-1	R1	Lower			X
6/29/2011	NP11-205-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$22,000		WECC201001914	CIP-004-1	R4	Lower			X
6/29/2011	NP11-211-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$14,000		WECC200901641	CIP-001-1	R2	Medium			X
6/29/2011	NP11-211-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$14,000		WECC200901673	CIP-004-1	R4	Lower			X
6/29/2011	NP11-211-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$14,000		WECC200901671	CIP-002-1	R1	Lower			X
6/29/2011	NP11-211-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$14,000		WECC200901672	CIP-003-1	R1	Lower			X
6/29/2011	NP11-225-000	RF	Unidentified Registered Entity	NCRXXXXX	\$10,000		RFC201000303	CIP-007-1	R6	Lower			X
6/29/2011	NP11-225-000	RF	Unidentified Registered Entity	NCRXXXXX	\$10,000		RFC201000385	CIP-002-1	R2	High			X
6/29/2011	NP11-225-000	RF	Unidentified Registered Entity	NCRXXXXX	\$10,000		RFC201000386	CIP-003-1	R1	Medium			X
6/29/2011	NP11-219-000	RF	City of Batavia Municipal Electric Utility	NCR00711	\$10,000		RFC200900223	CIP-001-1	R1	Medium			X
5/26/2011	NP11-190-000	RF	Hoosier Energy REC, Inc.	NCR00794	\$80,000		RFC200900179	CIP-001-1	R1	Medium			X
5/26/2011	NP11-184-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC201000364	CIP-009-1	R4	Lower			X
5/26/2011	NP11-184-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC201000363	CIP-009-1	R3	Lower			X
5/26/2011	NP11-184-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC201000348	CIP-005-1	R1	Medium			X
5/26/2011	NP11-184-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC200900209	CIP-003-1	R1	Medium			X
5/26/2011	NP11-184-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC201000347	CIP-003-1	R6	Lower			X
5/26/2011	NP11-184-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC201000346	CIP-003-1	R5	Lower			X
5/26/2011	NP11-184-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC201000345	CIP-003-1	R4	Medium			X
5/26/2011	NP11-184-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC200900215	CIP-009-1	R1	Medium			X
5/26/2011	NP11-184-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC200900214	CIP-008-1	R1	Lower			X
5/26/2011	NP11-184-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC200900213	CIP-007-1	R1	Medium			X
5/26/2011	NP11-184-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC200900212	CIP-004-1	R4	Lower			X
5/26/2011	NP11-184-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC200900210	CIP-004-1	R2	Medium			X
5/26/2011	NP11-184-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC201000352	CIP-005-1	R5	Lower			X
5/26/2011	NP11-184-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC201000357	CIP-007-1	R5	Lower			X
5/26/2011	NP11-184-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC200900208	CIP-002-1	R1	Medium			X
5/26/2011	NP11-184-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC201000350	CIP-005-1	R3	Medium			X
5/26/2011	NP11-184-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC201000360	CIP-007-1	R9	Lower			X
5/26/2011	NP11-184-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC201000370	CIP-007-1	R6	Lower			X
5/26/2011	NP11-184-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC201000353	CIP-006-1	R1	Medium			X
5/26/2011	NP11-184-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC201000354	CIP-006-1	R3	Medium			X
5/26/2011	NP11-184-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC201000356	CIP-007-1	R3	Lower			X
5/26/2011	NP11-184-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC201000369	CIP-007-1	R4	Medium			X
5/26/2011	NP11-184-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC201000349	CIP-005-1	R2	Medium			X
5/26/2011	NP11-184-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC200900211	CIP-004-1	R3	Medium			X
5/26/2011	NP11-184-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC201000358	CIP-007-1	R7	Lower			X
5/26/2011	NP11-184-000	RF	Unidentified Registered Entity	NCRXXXXX	\$70,000		RFC201000355	CIP-007-1	R2	Medium			X
5/26/2011	NP11-193-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$60,000		WECC201001968	CIP-007-1	R1	Medium			X
5/26/2011	NP11-193-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$60,000		WECC201002010	CIP-003-1	R1	Lower			X
5/26/2011	NP11-193-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$60,000		WECC201001948	CIP-004-1	R3	Medium			X

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5/26/2011	NP11-182-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$59,000		WECC201001831	CIP-009-1	R1	Medium			X
5/26/2011	NP11-182-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$59,000		WECC200901829	CIP-004-1	R3	Medium			X
5/26/2011	NP11-182-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$59,000		WECC201001830	CIP-008-1	R1	Lower			X
5/26/2011	NP11-182-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$59,000		WECC200901836	CIP-004-1	R4	Lower			X
5/26/2011	NP11-182-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$59,000		WECC200901828	CIP-004-1	R2	Medium			X
5/26/2011	NP11-182-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$59,000		WECC201001832	CIP-009-1	R2	Lower			X
5/26/2011	NP11-198-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$17,860		SPP200900181	CIP-007-1	R1	Medium			X
5/26/2011	NP11-198-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$17,860		SPP200900178	CIP-003-1	R1	Medium			X
5/26/2011	NP11-198-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$17,860		SPP200900180	CIP-004-1	R4.2	High			X
5/26/2011	NP11-189-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$17,000		FRCC200900277	CIP-005-1	R1.4	Lower			X
5/26/2011	NP11-189-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$17,000		FRCC201000384	CIP-005-1	R1	Lower			X
5/26/2011	NP11-189-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$17,000		FRCC200900278	CIP-004-1	R2.1	Medium			X
5/26/2011	NP11-189-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$17,000		FRCC200900217	CIP-004-1	R3	Medium			X
5/26/2011	NP11-189-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$17,000		FRCC201000383	CIP-004-2	R3	Medium			X
5/26/2011	NP11-188-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$16,860		SPP200900086	CIP-004-1	R4	Medium			X
5/26/2011	NP11-188-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$16,860		SPP200900166	CIP-004-1	R3.2	Lower			X
5/26/2011	NP11-188-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$16,860		SPP200900165	CIP-003-1	R1	Medium			X
5/26/2011	NP11-183-000	NPCC	CPI (CP) LLC --- CURTIS PALMER HYDROELECTRIC	NCR07076	\$15,000		NPCC200900075	CIP-001-1	R3	Medium			X
5/26/2011	NP11-183-000	NPCC	CPI (CP) LLC --- CURTIS PALMER HYDROELECTRIC	NCR07076	\$15,000		NPCC200900073	CIP-001-1	R1	Medium			X
5/26/2011	NP11-183-000	NPCC	CPI (CP) LLC --- CURTIS PALMER HYDROELECTRIC	NCR07076	\$15,000		NPCC200900074	CIP-001-1	R2	Medium			X
5/26/2011	NP11-183-000	NPCC	CPI (CP) LLC --- CURTIS PALMER HYDROELECTRIC	NCR07076	\$15,000		NPCC200900076	CIP-001-1	R4	Medium			X
5/26/2011	NP11-192-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$12,200		WECC201002152	CIP-006-2	R1	Medium			X
5/26/2011	NP11-192-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$12,200		WECC201002236	CIP-005-1	R1	Medium			X
5/26/2011	NP11-192-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$12,200		WECC201002154	CIP-004-1	R4	Medium			X
5/26/2011	NP11-199-000	NPCC	Littleton Electric Light Department	NCR00164	\$5,000	ACP	NPCC200900111	CIP-001-1	R1	Medium			X
5/26/2011	NP11-199-000	NPCC	Littleton Electric Light Department	NCR00164	\$5,000	ACP	NPCC201000213	CIP-001-1	R2	Medium			X
5/26/2011	NP11-199-000	NPCC	Littleton Electric Light Department	NCR00164	\$5,000	ACP	NPCC200900112	CIP-001-1	R3	Medium			X
5/26/2011	NP11-199-000	NPCC	Littleton Electric Light Department	NCR00164	\$5,000	ACP	NPCC200900113	CIP-001-1	R4	Medium			X
5/26/2011	NP11-199-000	SERC	Central Electric Power Cooperative, Inc.	NCR01191	\$5,000	ACP	SERC201000553	CIP-001-1	R1	Medium			X
5/26/2011	NP11-199-000	SERC	Central Electric Power Cooperative, Inc.	NCR01191	\$5,000	ACP	SERC201000554	CIP-001-1	R2	Medium			X
5/26/2011	NP11-199-000	SERC	Central Electric Power Cooperative, Inc.	NCR01191	\$5,000	ACP	SERC201000555	CIP-001-1	R3	Medium			X
5/26/2011	NP11-199-000	SERC	Central Electric Power Cooperative, Inc.	NCR01191	\$5,000	ACP	SERC201000556	CIP-001-1	R4	Medium			X
5/26/2011	NP11-199-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$3,500	ACP	NPCC201000207	CIP-006-2	R1.5	Medium			X
5/26/2011	NP11-199-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$3,500	ACP	NPCC201000208	CIP-006-2	R1.5	Medium			X
5/26/2011	NP11-199-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	MRO201100252	CIP-004-1	R2.3	Lower			X
5/26/2011	NP11-199-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	SERC201000727	CIP-003-2	R2	Medium			X
4/29/2011	NP11-167-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$89,000		WECC200901855	CIP-008-1	R1	Lower			X
4/29/2011	NP11-167-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$89,000		WECC200901734	CIP-007-1	R4	Medium			X
4/29/2011	NP11-167-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$89,000		WECC200901736	CIP-007-1	R6	Medium			X
4/29/2011	NP11-167-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$89,000		WECC200901737	CIP-007-1	R7	Lower			X
4/29/2011	NP11-167-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$89,000		WECC200901733	CIP-007-1	R3	Lower			X
4/29/2011	NP11-167-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$89,000		WECC200901730	CIP-005-1	R4	Medium			X
4/29/2011	NP11-167-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$89,000		WECC200901864	CIP-009-1	R5	Lower			X
4/29/2011	NP11-167-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$89,000		WECC200901731	CIP-007-1	R1	Medium			X
4/29/2011	NP11-167-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$89,000		WECC200901732	CIP-007-1	R2	Medium			X
4/29/2011	NP11-167-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$89,000		WECC200901851	CIP-009-1	R2	Lower			X
4/29/2011	NP11-167-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$89,000		WECC200901735	CIP-007-1	R5	Lower			X
4/29/2011	NP11-167-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$89,000		WECC200901729	CIP-004-1	R4	Lower			X
4/29/2011	NP11-167-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$89,000		WECC200901738	CIP-007-1	R8	Medium			X
4/29/2011	NP11-176-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$80,000		WECC200901556	CIP-004-1	R2	Medium			X
4/29/2011	NP11-176-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$80,000		WECC200901764	CIP-004-1	R3	Medium			X
4/29/2011	NP11-176-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$80,000		WECC200901651	CIP-004-1	R4	Medium			X
4/29/2011	NP11-180-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$71,500		WECC200901707	CIP-004-1	R2	Lower			X
4/29/2011	NP11-180-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$71,500		WECC200801177	CIP-004-1	R3	Lower			X
4/29/2011	NP11-166-000	SPP RE, Texas RE	Unidentified Registered Entity	NCRXXXXX	\$50,000		SPP200900109	CIP-006-1	R1.8	Medium			X
4/29/2011	NP11-166-000	SPP RE, Texas RE	Unidentified Registered Entity	NCRXXXXX	\$50,000		SPP200900144	CIP-008-1	R1.6	Lower			X
4/29/2011	NP11-166-000	SPP RE, Texas RE	Unidentified Registered Entity	NCRXXXXX	\$50,000		SPP200900138	CIP-003-1	R1.1	Lower			X
4/29/2011	NP11-166-000	SPP RE, Texas RE	Unidentified Registered Entity	NCRXXXXX	\$50,000		SPP200900143	CIP-007-1	R1	Medium			X
4/29/2011	NP11-166-000	SPP RE, Texas RE	Unidentified Registered Entity	NCRXXXXX	\$50,000		SPP200900108	CIP-005-1	R2	Medium			X

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4/29/2011	NP11-166-000	SPP RE, Texas RE	Unidentified Registered Entity	NCRXXXXX	\$50,000		SPP201000340	CIP-005-2	R1	Medium			X
4/29/2011	NP11-166-000	SPP RE, Texas RE	Unidentified Registered Entity	NCRXXXXX	\$50,000		SPP200900139	CIP-004-1	R2.2.2	Lower			X
4/29/2011	NP11-178-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$35,000		WECC200901741	CIP-002-1	R1	Medium			X
4/29/2011	NP11-175-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$32,000		WECC200901739	CIP-006-1	R1	Lower			X
4/29/2011	NP11-175-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$32,000		WECC200901401	CIP-004-1	R3	Lower			X
4/29/2011	NP11-175-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$32,000		WECC200901400	CIP-004-1	R2	Medium			X
4/29/2011	NP11-181-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$23,000	ACP	FRCC201000324	CIP-004-1	R2.1	Lower			X
4/29/2011	NP11-181-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$23,000	ACP	FRCC201000325	CIP-004-1	R4.1	Lower			X
4/29/2011	NP11-181-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$23,000	ACP	FRCC201000337	CIP-004-1	R2.3	Lower			X
4/29/2011	NP11-181-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$23,000	ACP	FRCC201000338	CIP-004-1	R3	Lower			X
4/29/2011	NP11-181-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$23,000	ACP	FRCC201000326	CIP-005-1	R4	Lower			X
4/29/2011	NP11-181-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$23,000	ACP	FRCC201000322	CIP-006-1	R3	Medium			X
4/29/2011	NP11-181-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$23,000	ACP	FRCC201000323	CIP-006-1	R4	Lower			X
4/29/2011	NP11-181-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$23,000	ACP	FRCC201000328	CIP-007-1	R1	Medium			X
4/29/2011	NP11-181-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$23,000	ACP	FRCC201000329	CIP-007-1	R2	Lower			X
4/29/2011	NP11-181-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$23,000	ACP	FRCC201000330	CIP-007-1	R3	Lower			X
4/29/2011	NP11-181-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$23,000	ACP	FRCC201000331	CIP-007-1	R8	Lower			X
4/29/2011	NP11-174-000	RF	Unidentified Registered Entity	NCRXXXXX	\$15,000		RFC201000308	CIP-004-1	R4	Lower			X
4/29/2011	NP11-174-000	RF	Unidentified Registered Entity	NCRXXXXX	\$15,000		RFC200900232	CIP-006-1	R1.8	Lower			X
4/29/2011	NP11-174-000	RF	Unidentified Registered Entity	NCRXXXXX	\$15,000		RFC201000307	CIP-004-1	R2	Lower			X
4/29/2011	NP11-179-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$10,000		MRO200900136	CIP-007-1	R1	Medium			X
4/29/2011	NP11-181-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$7,500	ACP	NPCC201000183	CIP-004-1	R3	Medium			X
4/29/2011	NP11-181-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$7,500	ACP	NPCC201000185	CIP-004-1	R4.1; R4.2	Medium			X
4/29/2011	NP11-181-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$7,500	ACP	NPCC201000186	CIP-004-1	R2.1	Medium			X
4/29/2011	NP11-181-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$7,500	ACP	NPCC201000184	CIP-006-1	R1.4	Medium			X
4/29/2011	NP11-181-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$4,000	ACP	NPCC201000163	CIP-006-2	R1.6	Medium			X
4/29/2011	NP11-181-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$2,500	ACP	NPCC201000187	CIP-004-1	R4.1; R4.2	Medium			X
4/29/2011	NP11-181-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$2,500	ACP	NPCC201000188	CIP-004-1	R2.1	Medium			X
4/29/2011	NP11-181-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$2,500	ACP	NPCC201000189	CIP-004-1	R3	Medium			X
4/29/2011	NP11-181-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$2,500	ACP	NPCC201000158	CIP-007-1	R1	Medium			X
4/29/2011	NP11-181-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$2,500	ACP	NPCC201000157	CIP-007-1	R1	Medium			X
3/31/2011	NP11-162-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$8,000	ACP	TRE201000099	CIP-004-1	R4	Medium			X
3/31/2011	NP11-162-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$2,500	ACP	NPCC201000178	CIP-004-2	R4.2	NA			X
3/31/2011	NP11-162-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$2,500	ACP	NPCC201000179	CIP-004-2	R4.2	NA			X
3/31/2011	NP11-162-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$2,500	ACP	NPCC201000180	CIP-004-2	R4.2	NA			X
3/31/2011	NP11-162-000	SERC	Town of Sharpsburg	NCR01348	\$0	ACP	SERC201000722	CIP-001-1	R1	Medium			X
3/31/2011	NP11-162-000	SERC	Town of Sharpsburg	NCR01348	\$0	ACP	SERC201000723	CIP-001-1	R2	Medium			X
3/31/2011	NP11-162-000	SERC	Town of Sharpsburg	NCR01348	\$0	ACP	SERC201000724	CIP-001-1	R3	Medium			X
3/31/2011	NP11-162-000	SERC	Town of Sharpsburg	NCR01348	\$0	ACP	SERC201000725	CIP-001-1	R4	Medium			X
3/31/2011	NP11-162-000	SERC	Town of Stantonburg	NCR01349	\$0	ACP	SERC201000689	CIP-001-1	R1	Medium			X
3/31/2011	NP11-162-000	SERC	Town of Stantonburg	NCR01349	\$0	ACP	SERC201000690	CIP-001-1	R2	Medium			X
3/31/2011	NP11-162-000	SERC	Town of Stantonburg	NCR01349	\$0	ACP	SERC201000691	CIP-001-1	R3	Medium			X
3/31/2011	NP11-162-000	SERC	Town of Stantonburg	NCR01349	\$0	ACP	SERC201000692	CIP-001-1	R4	Medium			X
3/31/2011	NP11-162-000	SERC	Town of Winterville	NCR01352	\$0	ACP	SERC201000693	CIP-001-1	R1	Medium			X
3/31/2011	NP11-162-000	SERC	Town of Winterville	NCR01352	\$0	ACP	SERC201000694	CIP-001-1	R2	Medium			X
3/31/2011	NP11-162-000	SERC	Town of Winterville	NCR01352	\$0	ACP	SERC201000695	CIP-001-1	R3	Medium			X
3/31/2011	NP11-162-000	SERC	Town of Winterville	NCR01352	\$0	ACP	SERC201000696	CIP-001-1	R4	Medium			X
3/30/2011	NP11-137-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$106,000		WECC200800794	CIP-001-1	R2	Medium			X
3/30/2011	NP11-137-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$106,000		WECC200800906	CIP-009-1	R1	Lower			X
3/30/2011	NP11-137-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$106,000		WECC200800796	CIP-001-1	R4	Medium			X
3/30/2011	NP11-137-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$106,000		WECC200800904	CIP-007-1	R1	Medium			X
3/30/2011	NP11-137-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$106,000		WECC200800905	CIP-008-1	R1	Lower			X
3/30/2011	NP11-137-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$106,000		WECC200800793	CIP-001-1	R1	Medium			X
3/30/2011	NP11-137-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$106,000		WECC200800795	CIP-001-1	R3	Medium			X
3/30/2011	NP11-137-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$106,000		WECC200800901	CIP-004-1	R2	Medium			X
3/30/2011	NP11-137-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$106,000		WECC200800902	CIP-004-1	R3	Lower			X
3/30/2011	NP11-137-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$106,000		WECC200800903	CIP-004-1	R4	Medium			X
3/30/2011	NP11-137-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$106,000		WECC200800907	CIP-009-1	R2	Lower			X
3/30/2011	NP11-146-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$52,500		RFC200900193	CIP-004-1	R3	Medium			X
3/30/2011	NP11-146-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$52,500		RFC200900266	CIP-008-1	R1	Lower			X

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3/30/2011	NP11-146-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$52,500		RFC200900265	CIP-004-1	R4	Lower			X
3/30/2011	NP11-146-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$52,500		RFC200900191	CIP-004-1	R3	Medium			X
3/30/2011	NP11-146-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$52,500		RFC200900272	CIP-008-1	R1	Lower			X
3/30/2011	NP11-146-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$52,500		RFC200900271	CIP-004-1	R4	Lower			X
3/30/2011	NP11-146-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$52,500		RFC200900270	CIP-002-1	R3.2	Lower			X
3/30/2011	NP11-146-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$52,500		RFC200900269	CIP-008-1	R1	Lower			X
3/30/2011	NP11-146-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$52,500		RFC200900268	CIP-004-1	R4	Lower			X
3/30/2011	NP11-146-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$52,500		RFC200900264	CIP-002-1	R3.2	Lower			X
3/30/2011	NP11-146-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$52,500		RFC200900267	CIP-002-1	R3.2	Lower			X
3/30/2011	NP11-146-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$52,500		RFC200900129	CIP-004-1	R2.1	Medium			X
3/30/2011	NP11-146-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$52,500		RFC200900192	CIP-004-1	R3	Medium			X
3/30/2011	NP11-146-000	RF	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX, NCRXXXXX	\$52,500		RFC200900130	CIP-004-1	R2.1	Medium			X
3/30/2011	NP11-161-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$35,000		WECC200801185	CIP-008-1	R1	Lower			X
3/30/2011	NP11-161-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$35,000		WECC200801706	CIP-007-1	R1	Lower			X
3/30/2011	NP11-161-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$35,000		WECC200901423	CIP-004-1	R3	Medium			X
3/30/2011	NP11-161-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$35,000		WECC200901259	CIP-001-1	R1	Medium			X
3/30/2011	NP11-161-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$35,000		WECC200901491	CIP-007-1	R5	Lower			X
3/30/2011	NP11-161-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$35,000		WECC200901644	CIP-006-1	R1	Lower			X
3/30/2011	NP11-161-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$35,000		WECC200901260	CIP-001-1	R2	Medium			X
3/30/2011	NP11-161-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$35,000		WECC200901625	CIP-004-1	R2	Lower			X
3/30/2011	NP11-140-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$27,000		WECC200901646	CIP-004-1	R2	Medium			X
3/30/2011	NP11-140-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$27,000		WECC200901647	CIP-004-1	R3	Lower			X
3/30/2011	NP11-140-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$27,000		WECC200901634	CIP-004-1	R4	Lower			X
3/30/2011	NP11-140-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$27,000		WECC200901649	CIP-003-1	R2	Lower			X
3/30/2011	NP11-140-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$27,000		WECC200901636	CIP-007-1	R4	Medium			X
3/30/2011	NP11-140-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$27,000		WECC200901648	CIP-003-1	R1	Lower			X
3/30/2011	NP11-140-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$27,000		WECC200901635	CIP-007-1	R1	Medium			X
3/30/2011	NP11-149-000	RF	Unidentified Registered Entity	NCRXXXXX	\$20,000		RFC200900184	CIP-006-1	R4	Medium			X
3/30/2011	NP11-149-000	RF	Unidentified Registered Entity	NCRXXXXX	\$20,000		RFC200900183	CIP-006-1	R1.6	Medium			X
3/30/2011	NP11-136-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$14,500		WECC200901642	CIP-002-1	R2	High			X
3/30/2011	NP11-136-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$14,500		WECC200901643	CIP-008-1	R1	Lower			X
3/30/2011	NP11-136-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$14,500		WECC200901698	CIP-007-1	R6	Lower			X
3/30/2011	NP11-145-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$13,000		WECC200901677	CIP-003-1	R1	Lower			X
3/30/2011	NP11-145-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$13,000		WECC200901678	CIP-006-1	R1	Lower			X
3/30/2011	NP11-145-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$13,000		WECC200901679	CIP-007-1	R1	Medium			X
3/30/2011	NP11-156-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$12,500		SERC200900350	CIP-006-1	R4	Lower			X
3/30/2011	NP11-156-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$12,500		SERC200900348	CIP-006-1	R2	Medium			X
3/30/2011	NP11-156-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$12,500		SERC200900349	CIP-006-1	R3	Medium			X
3/30/2011	NP11-157-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$7,000		SERC200900337	CIP-004-1	R2.3	Lower			X
3/30/2011	NP11-157-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$7,000		SERC200900338	CIP-004-1	R3	Lower			X
3/30/2011	NP11-143-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$5,000		SERC200900299	CIP-004-1	R2.3	Lower			X
3/30/2011	NP11-143-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$5,000		SERC200900303	CIP-004-1	R2.1	Medium			X
3/30/2011	NP11-155-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$2,000		WECC200901705	CIP-003-1	R2	Lower			X
3/30/2011	NP11-150-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0		MRO201000157	CIP-006-1	R1	Lower			X

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2/28/2011	NP11-130-000	WECC	Silicon Valley Power	NCR05392	\$94,000		WECC200800745	CIP-001-1	R1	Medium			X
2/28/2011	NP11-130-000	WECC	Silicon Valley Power	NCR05392	\$94,000		WECC200800748	CIP-001-1	R4	Medium			X
2/28/2011	NP11-130-000	WECC	Silicon Valley Power	NCR05392	\$94,000		WECC200800747	CIP-001-1	R3	Medium			X
2/28/2011	NP11-130-000	WECC	Silicon Valley Power	NCR05392	\$94,000		WECC200800746	CIP-001-1	R2	Medium			X
2/28/2011	NP11-133-000	Texas RE	Unidentified Registered Entity	NCRXXXXX	\$9,000	ACP	TRE201000096	CIP-004-1	R4	Medium			X
2/28/2011	NP11-133-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$2,500	ACP	NPCC201000159	CIP-004-1	R4.2	Medium			X
2/28/2011	NP11-133-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	MRO201000213	CIP-006-1	R1.8	Lower			X
2/28/2011	NP11-133-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	MRO201000225	CIP-007-1	R6	Medium			X
2/28/2011	NP11-133-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	SPP200900183	CIP-006-1	R1.1	Medium			X
2/23/2011	NP11-128-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$450,000		WECC200800912	CIP-003-1	R3	Lower			X
2/23/2011	NP11-128-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$450,000		WECC200800917	CIP-008-1	R1	Lower			X
2/23/2011	NP11-128-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$450,000		WECC200800919	CIP-009-1	R2	Lower			X
2/23/2011	NP11-128-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$450,000		WECC200800911	CIP-003-1	R1	Medium			X
2/23/2011	NP11-128-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$450,000		WECC200800913	CIP-004-1	R2	Lower			X
2/23/2011	NP11-128-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$450,000		WECC200800914	CIP-004-1	R3	Medium			X
2/23/2011	NP11-128-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$450,000		WECC200800916	CIP-007-1	R1	Medium			X
2/23/2011	NP11-128-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$450,000		WECC200800918	CIP-009-1	R1	Medium			X
2/23/2011	NP11-128-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$450,000		WECC200800915	CIP-004-1	R4	Lower			X
2/23/2011	NP11-111-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$120,000		MRO200900118	CIP-007-1	R1	Medium			X
2/23/2011	NP11-124-000	RF	Unidentified Registered Entity	NCRXXXXX	\$100,000		RFC200900198	CIP-004-1	R4.1	Lower			X
2/23/2011	NP11-124-000	RF	Unidentified Registered Entity	NCRXXXXX	\$100,000		RFC201000236	CIP-003-1	R4	Medium			X
2/23/2011	NP11-124-000	RF	Unidentified Registered Entity	NCRXXXXX	\$100,000		RFC200900137	CIP-007-1	R1	Medium			X
2/23/2011	NP11-124-000	RF	Unidentified Registered Entity	NCRXXXXX	\$100,000		RFC200900125	CIP-004-1	R4.2	Medium			X
2/23/2011	NP11-124-000	RF	Unidentified Registered Entity	NCRXXXXX	\$100,000		RFC200900135	CIP-004-1	R2	Medium			X
2/23/2011	NP11-124-000	RF	Unidentified Registered Entity	NCRXXXXX	\$100,000		RFC200900197	CIP-004-1	R3	Medium			X
2/23/2011	NP11-124-000	RF	Unidentified Registered Entity	NCRXXXXX	\$100,000		RFC200900138	CIP-008-1	R1	Lower			X
2/23/2011	NP11-124-000	RF	Unidentified Registered Entity	NCRXXXXX	\$100,000		RFC200900136	CIP-004-1	R3	Medium			X
2/23/2011	NP11-125-000	SPP RE, RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX	\$77,000		RFC200800111	CIP-004-1	R3	Medium			X
2/23/2011	NP11-125-000	SPP RE, RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX	\$77,000		SPP200800066	CIP-004-1	R3	Medium			X
2/23/2011	NP11-125-000	SPP RE, RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX	\$77,000		SPP200800065	CIP-004-1	R2	Medium			X
2/23/2011	NP11-125-000	SPP RE, RF	Unidentified Registered Entity	NCRXXXXX, NCRXXXXX	\$77,000		RFC200800110	CIP-004-1	R2.1	Medium			X
2/23/2011	NP11-116-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$75,000		FRCC200800093	CIP-004-1	R3	Medium			X
2/23/2011	NP11-127-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$55,000		FRCC200800085	CIP-004-1	R4.1	Lower			X
2/23/2011	NP11-127-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$55,000		FRCC200900138	CIP-004-1	R4.1	Lower			X
2/23/2011	NP11-106-000	RF	Unidentified Registered Entity	NCRXXXXX	\$15,000		RFC201000243	CIP-007-1	R1.1	Medium			X
2/23/2011	NP11-106-000	RF	Unidentified Registered Entity	NCRXXXXX	\$15,000		RFC201000242	CIP-004-1	R4.1	Lower			X
2/23/2011	NP11-106-000	RF	Unidentified Registered Entity	NCRXXXXX	\$15,000		RFC200900166	CIP-007-1	R4	Medium			X
2/23/2011	NP11-115-000	Texas RE	BASF Corp	NCR04011	\$11,000		TRE201000089	CIP-001-1	R2	Medium			X
1/31/2011	NP11-102-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$6,500		WECC200901728	CIP-007-1	R4	Medium			X
1/31/2011	NP11-98-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$5,000		WECC200901619	CIP-006-1	R1	Medium			X
1/31/2011	NP11-98-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$5,000		WECC200901620	CIP-003-1	R6	Lower			X
1/31/2011	NP11-104-000	SERC	French Broad Electric Membership Corporation	NCR01244	\$5,000	ACP	SERC201000496	CIP-001-1	R1	Medium			X
1/31/2011	NP11-104-000	SERC	French Broad Electric Membership Corporation	NCR01244	\$5,000	ACP	SERC201000580	CIP-001-1	R2	Medium			X
1/31/2011	NP11-104-000	SERC	French Broad Electric Membership Corporation	NCR01244	\$5,000	ACP	SERC201000581	CIP-001-1	R3	Medium			X
1/31/2011	NP11-104-000	SERC	French Broad Electric Membership Corporation	NCR01244	\$5,000	ACP	SERC201000582	CIP-001-1	R4	Medium			X
1/31/2011	NP11-104-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$5,000	ACP	NPCC201000131	CIP-004-1	R2.3	Lower			X
1/31/2011	NP11-104-000	NPCC	Unidentified Registered Entity	NCRXXXXX	\$5,000	ACP	NPCC201000153	CIP-004-1	R3	Lower			X
1/31/2011	NP11-104-000	SERC	East Mississippi Electric Power Association	NCR01226	\$4,000	ACP	SERC201000520	CIP-001-1	R1	Medium			X
1/31/2011	NP11-104-000	SERC	East Mississippi Electric Power Association	NCR01226	\$4,000	ACP	SERC201000521	CIP-001-1	R2	Medium			X
1/31/2011	NP11-104-000	SERC	East Mississippi Electric Power Association	NCR01226	\$4,000	ACP	SERC201000522	CIP-001-1	R3	Medium			X
1/31/2011	NP11-85-000	Texas RE	Scurry County Wind LP	NCR10027	\$3,000		TRE200900071	CIP-001-1	R4	Medium			X
1/31/2011	NP11-104-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$1,800	ACP	SPP200900184	CIP-003-1	R1 (R1.1, R1.2)	Medium			X
1/31/2011	NP11-104-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$700	ACP	SPP200900189	CIP-006-1	R4	Lower			X
1/31/2011	NP11-104-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$700	ACP	SPP200900194	CIP-009-1	R2	Lower			X
1/31/2011	NP11-104-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$600	ACP	SPP200900160	CIP-004-1	R3	Medium			X
1/31/2011	NP11-104-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$500	ACP	SPP200900192	CIP-008-1	R1 (R1.2, R1.6)	Lower			X
1/31/2011	NP11-104-000	NPCC	Mt. Tom Generating Co., LLC	NCR10050	\$0	ACP	NPCC201000166	CIP-001-1	R4	Medium			X
1/31/2011	NP11-104-000	RF	Buckeye Power, Inc.	NCR00700	\$0	ACP	RFC201000612	CIP-001-1	R4	Medium			X

Date	Regulatory Filing ID	Region	Registered Entity	NCR ID (NERC Compliance Registry Identifier)	Total Penalty (\$ (The total penalty amount represents an aggregate amount for the filing; it does not represent an amount per violation.))	SA, NOCV, ACP, SNOP or OMNI	NERC Violation ID	Reliability Standard	Req.	Violation Risk Factor (Lower, Medium, High)	Risk Assessment (Minimal, Moderate, Serious)	Mitigation Completion Date	Notice of No Further Review Issued
1/31/2011	NP11-104-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	MRO200900106	CIP-004-1	R2	Medium			X
1/31/2011	NP11-104-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	MRO200900107	CIP-004-1	R3	Lower			X
1/31/2011	NP11-104-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	MRO200900108	CIP-004-1	R4	Lower			X
1/31/2011	NP11-104-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	MRO201000219	CIP-003-1	R1	Lower			X
1/31/2011	NP11-104-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	MRO201000220	CIP-004-1	R2	Medium			X
1/31/2011	NP11-104-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	MRO201000221	CIP-004-1	R4	Lower			X
1/31/2011	NP11-104-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	SPP201000355	CIP-009-1	R5	Lower			X
1/31/2011	NP11-104-000	SPP RE	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	SPP200900182	CIP-004-1	R4.1; R4.2	Medium			X
1/31/2011	NP11-104-000	MRO	Unidentified Registered Entity	NCRXXXXX	\$0	ACP	MRO201000223	CIP-007-2	R6	Lower			X
12/22/2010	NP11-79-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$100,000		FRCC200900170	CIP-004-1	4	Lower			X
12/22/2010	NP11-79-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$100,000		FRCC200800094	CIP-001-1	2	Medium			X
12/22/2010	NP11-79-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$100,000		FRCC200800224	CIP-001-1	1	Medium			X
12/22/2010	NP11-63-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$80,000		WECC200801212	CIP-008-1	1	Lower			X
12/22/2010	NP11-70-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$55,000		WECC200801147	CIP-004-1	4	Medium			X
12/22/2010	NP11-70-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$55,000		WECC200801146	CIP-004-1	3	Medium			X
12/22/2010	NP11-81-000	MRO, SPP	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$50,000		MRO200800070	CIP-004-1	3	Lower			X
12/22/2010	NP11-81-000	MRO, SPP	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$50,000		MRO200800071	CIP-004-1	4	Lower			X
12/22/2010	NP11-81-000	MRO, SPP	Unidentified Registered Entities	NCRXXXXX, NCRXXXXX	\$50,000		SPP200800058	CIP-004-1	4	Lower			X
12/22/2010	NP11-64-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$38,500		WECC200901699	CIP-004-1	4				X
12/22/2010	NP11-64-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$38,500		WECC200901726	CIP-004-1	3	Medium			X
12/22/2010	NP11-64-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$38,500		WECC200901650	CIP-004-1	2	Medium			X
12/22/2010	NP11-59-000	RF	Unidentified Registered Entity	NCRXXXXX	\$7,000		RFC200900143	CIP-004-1	3	Lower			X
12/22/2010	NP11-62-000	SPP RE	City of Clarksdale, Mississippi	NCR01071	\$5,000		SPP200900117	CIP-001-1	4	Medium			X
12/22/2010	NP11-62-000	SPP RE	City of Clarksdale, Mississippi	NCR01071	\$5,000		SPP200900116	CIP-001-1	3	Medium			X
12/22/2010	NP11-62-000	SPP RE	City of Clarksdale, Mississippi	NCR01071	\$5,000		SPP200900114	CIP-001-1	1	Medium			X
12/22/2010	NP11-62-000	SPP RE	City of Clarksdale, Mississippi	NCR01071	\$5,000		SPP200900115	CIP-001-1	2	Medium			X
12/22/2010	NP11-71-000	SPP RE	City Of Minden	NCR06034	\$3,000		SPP201000282	CIP-001-1	4	Medium			X
12/22/2010	NP11-71-000	SPP RE	City Of Minden	NCR06034	\$3,000		SPP201000279	CIP-001-1	1	Medium			X
12/22/2010	NP11-71-000	SPP RE	City Of Minden	NCR06034	\$3,000		SPP201000281	CIP-001-1	3	Medium			X
12/22/2010	NP11-71-000	SPP RE	City Of Minden	NCR06034	\$3,000		SPP201000280	CIP-001-1	2	Medium			X
12/22/2010	NP11-72-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$2,000		SERC201000493	CIP-007-1	3.1	Lower			X
12/22/2010	NP11-76-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0		SERC200900392	CIP-004-1	4	Lower			X
11/30/2010	NP11-30-000	WECC	Clallam County PUD No.1	NCR05099	\$15,000		WECC200901335	CIP-001-1	3	Medium			X
11/30/2010	NP11-30-000	WECC	Clallam County PUD No.1	NCR05099	\$15,000		WECC200901334	CIP-001-1	1	Medium			X
11/30/2010	NP11-46-000	SERC	Claiborne Electric Cooperative, Inc.	NCR00499	\$5,000		SERC201000436	CIP-001-1	4	Medium			X
11/30/2010	NP11-46-000	SERC	Claiborne Electric Cooperative, Inc.	NCR00499	\$5,000		SERC201000434	CIP-001-1	2	Medium			X
11/30/2010	NP11-46-000	SERC	Claiborne Electric Cooperative, Inc.	NCR00499	\$5,000		SERC201000435	CIP-001-1	3	Medium			X
11/30/2010	NP11-46-000	SERC	Claiborne Electric Cooperative, Inc.	NCR00499	\$5,000		SERC201000433	CIP-001-1	1	Medium			X
11/30/2010	NP11-39-000	RF	Sunbury Generation LP	NCR06030	\$3,000		RFC200900170	CIP-001-1	4	Medium			X
11/30/2010	NP11-32-000	WECC	Rosebud Operating Services, Inc.	NCR05367	\$2,000		WECC201001839	CIP-001-1	2	Medium			X
11/30/2010	NP11-56-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0		SERC201000500	CIP-002-1	4	Lower			X
11/30/2010	NP11-56-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0		SERC201000499	CIP-002-1	2	High			X
11/30/2010	NP11-47-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$0		SERC201000546	CIP-003-1	2/2.1	Lower			X
11/5/2010	NP11-08-000	MRO	Minnesota Power (Allete, Inc.)	NCR00674	\$62,500		MRO200900090	CIP-001-1	1	Medium			X
11/5/2010	NP11-14-000	WECC	Black Hills Power, Inc.	NCR05030	\$12,000		WECC200901655	CIP-001-1	3	Medium			X
11/5/2010	NP11-21-000	RF	Unidentified Registered Entity	NCRXXXXX	\$8,000		RFC200900163	CIP-006-1	3.1	Medium			X
11/5/2010	NP11-22-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$5,000		SERC200800241	CIP-004-1	4.2	Lower			X
11/5/2010	NP11-19-000	SPP RE	U.S. Army Corps of Engineers - Little Rock District	NCR06037	\$0		SPP200700021	CIP-001-1	2	Medium			X
10/7/2010	NP11-4-000	FRCC	Unidentified Registered Entity	NCRXXXXX	\$250,000		FRCC200800139	CIP-004-1	4	Lower			X
10/7/2010	NP11-1-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$106,000		WECC200901336	CIP-004-1	2	Medium			X
10/7/2010	NP11-1-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$106,000		WECC200901337	CIP-004-1	3	Medium			X
10/7/2010	NP11-1-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$106,000		WECC200901472	CIP-004-1	2	Medium			X
10/7/2010	NP11-1-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$106,000		WECC200901473	CIP-004-1	3	Medium			X
10/7/2010	NP11-1-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$106,000		WECC200901474	CIP-004-1	4	Medium			X
10/7/2010	NP11-5-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$16,000		SERC200800170	CIP-002-1	1	Medium			X
10/7/2010	NP11-5-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$16,000		SERC200800171	CIP-002-1	2	High			X
10/7/2010	NP11-5-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$16,000		SERC200800172	CIP-002-1	3	High			X
10/7/2010	NP11-5-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$16,000		SERC200800173	CIP-003-1	1	Medium			X
10/7/2010	NP11-5-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$16,000		SERC200800174	CIP-003-1	2	Medium			X
10/7/2010	NP11-5-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$16,000		SERC200800175	CIP-003-1	3	Lower			X
10/7/2010	NP11-5-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$16,000		SERC200800176	CIP-004-1	2	Medium			X
10/7/2010	NP11-5-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$16,000		SERC200800177	CIP-004-1	3	Medium			X
10/7/2010	NP11-5-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$16,000		SERC200800178	CIP-004-1	4	Medium			X
10/7/2010	NP11-5-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$16,000		SERC200800179	CIP-007-1	1	Medium			X

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10/7/2010	NP11-5-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$16,000		SERC200800180	CIP-008-1	1	Lower			X
10/7/2010	NP11-5-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$16,000		SERC200800181	CIP-009-1	1	Medium			X
10/7/2010	NP11-5-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$16,000		SERC200800182	CIP-009-1	2	Lower			X
10/7/2010	NP11-5-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$16,000		SERC200900291	CIP-004-1	2.1	Medium			X
10/7/2010	NP11-2-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$9,000		WECC200800920	CIP-009-1	1	Medium			X
10/7/2010	NP11-3-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$6,000		SERC200900287	CIP-002-1	3	High			X
10/7/2010	NP11-3-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$6,000		SERC200900288	CIP-004-1	2.1	Medium			X
10/7/2010	NP11-3-000	SERC	Unidentified Registered Entity	NCRXXXXX	\$6,000		SERC200900289	CIP-004-1	3	Medium			X
9/30/2010	NP10-185-000	SERC	South Louisiana Electric Cooperative Association	NCR00163	\$5,000		SERC200900425	CIP-001-1	1	Medium			X
9/30/2010	NP10-185-000	SERC	South Louisiana Electric Cooperative Association	NCR00163	\$5,000		SERC200900328	CIP-001-1	4	Medium			X
9/30/2010	NP10-173-000	NPCC	Vermont Marble Power Division of Omya Inc	NCR07226	\$5,000		NPCC201000144	CIP-001-1	2	Medium			X
9/30/2010	NP10-173-000	NPCC	Vermont Marble Power Division of Omya Inc	NCR07226	\$5,000		NPCC201000143	CIP-001-1	1	Medium			X
9/30/2010	NP10-173-000	NPCC	Vermont Marble Power Division of Omya Inc	NCR07226	\$5,000		NPCC200900106	CIP-001-1	3	Medium			X
9/30/2010	NP10-173-000	NPCC	Vermont Marble Power Division of Omya Inc	NCR07226	\$5,000		NPCC201000145	CIP-001-1	4	Medium			X
9/30/2010	NP10-184-000	WECC	Klickitat County PUD	NCR05206	\$4,800		WECC200800670	CIP-001-1	4	Medium			X
9/30/2010	NP10-186-000	RF	Fox Energy Company LLC	NCR08021	\$4,000		RFC200900178	CIP-001-1	2	Medium			X
9/30/2010	NP10-170-000	SERC	Seneca Light and Water	NCR01309	\$3,000		SERC200900406	CIP-001-1	2	Medium			X
9/30/2010	NP10-170-000	SERC	Seneca Light and Water	NCR01309	\$3,000		SERC200900405	CIP-001-1	1	Medium			X
9/30/2010	NP10-170-000	SERC	Seneca Light and Water	NCR01309	\$3,000		SERC200900404	CIP-001-1	3	Medium			X
9/30/2010	NP10-170-000	SERC	Seneca Light and Water	NCR01309	\$3,000		SERC200900407	CIP-001-1	4	Medium			X
9/13/2010	NP10-160-000	NERC as CEA	WECC RC [California Mexico Reliability Coordinator OC]	NCR05049	\$0		NCEA200700064	CIP-001-1	4	Medium			X
9/13/2010	NP10-160-000	NERC as CEA	WECC RC [Pacific Northwest Security Coordinator]	NCR05302	\$0		NCEA200700058	CIP-001-1	4	Medium			X
9/13/2010	NP10-160-000	SPP RE	USACE - Tulsa District	NCR06038	\$0		SPP200700036	CIP-001-1	2	Medium			X
9/13/2010	NP10-160-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$0		WECC200800970	CIP-007-1	1	Medium / Lower			X
9/13/2010	NP10-160-000	WECC	Unidentified Registered Entity	NCRXXXXX	\$0		WECC200800964	CIP-003-1	1	Lower			X
9/13/2010	NP10-160-000	WECC	USACE-Seattle District	NCR05539	\$0		WECC200801190	CIP-001-1	1	Medium			X
9/13/2010	NP10-160-000	WECC	USACE-Seattle District	NCR05539	\$0		WECC200801191	CIP-001-1	3	Medium			X
9/13/2010	NP10-160-000	WECC	USACE-Seattle District	NCR05539	\$0		WECC200801192	CIP-001-1	4	Medium			X
7/30/2010	NP10-159-000	WECC	NERC	NCRXXXXX	\$109,000		WECC200801165	CIP-002-1	3	High			X
7/30/2010	NP10-159-000	WECC	NERC	NCRXXXXX	\$109,000		WECC200901309	CIP-003-1	3	Lower			X
7/30/2010	NP10-159-000	WECC	NERC	NCRXXXXX	\$109,000		WECC200901310	CIP-004-1	4	Lower			X
7/30/2010	NP10-159-000	WECC	NERC	NCRXXXXX	\$109,000		WECC200800922	CIP-008-1	1	Lower			X
7/30/2010	NP10-159-000	WECC	NERC	NCRXXXXX	\$109,000		WECC200901311	CIP-009-1	1	Medium			X
7/30/2010	NP10-156-000	SERC	EPCOR USA North Carolina LLC (Southport)	NCR09020	\$30,000		SERC200800216	CIP-001-1	1	Medium			X
7/30/2010	NP10-156-000	SERC	EPCOR USA North Carolina LLC (Southport)	NCR09020	\$30,000		SERC200800217	CIP-001-1	2	Medium			X
7/30/2010	NP10-156-000	SERC	EPCOR USA North Carolina LLC (Southport)	NCR09020	\$30,000		SERC200800218	CIP-001-1	3	Medium			X
7/30/2010	NP10-156-000	SERC	EPCOR USA North Carolina LLC (Southport)	NCR09020	\$30,000		SERC200800219	CIP-001-1	4	Medium			X
7/30/2010	NP10-155-000	SERC	EPCOR USA North Carolina LLC (Roxboro)	NCR09021	\$30,000		SERC200800220	CIP-001-1	1	Medium			X
7/30/2010	NP10-155-000	SERC	EPCOR USA North Carolina LLC (Roxboro)	NCR09021	\$30,000		SERC200800221	CIP-001-1	2	Medium			X
7/30/2010	NP10-155-000	SERC	EPCOR USA North Carolina LLC (Roxboro)	NCR09021	\$30,000		SERC200800222	CIP-001-1	3	Medium			X
7/30/2010	NP10-155-000	SERC	EPCOR USA North Carolina LLC (Roxboro)	NCR09021	\$30,000		SERC200800223	CIP-001-1	4	Medium			X
7/30/2010	NP10-147-000	SERC	Greenwood Commissioners of Public Works	NCR01250	\$10,000		SERC200900333	CIP-001-1	1	Medium			X
7/30/2010	NP10-147-000	SERC	Greenwood Commissioners of Public Works	NCR01250	\$10,000		SERC200900334	CIP-001-1	2	Medium			X
7/30/2010	NP10-147-000	SERC	Greenwood Commissioners of Public Works	NCR01250	\$10,000		SERC200900335	CIP-001-1	3	Medium			X
7/30/2010	NP10-147-000	SERC	Greenwood Commissioners of Public Works	NCR01250	\$10,000		SERC200900336	CIP-001-1	4	Medium			X
7/6/2010	NP10-141-000	WECC	Los Angeles Department of Water and Power	NCR05223	\$225,000		WECC200800708	CIP-001-1	1	Medium			X
7/6/2010	NP10-133-000	WECC	Hermiston Generating Co., L.P.	NCR05181	\$59,500		WECC200901740	CIP-001-1	1	Medium			X
7/6/2010	NP10-137-000	WECC	NERC	NCRXXXXX	\$39,000		WECC200800963	CIP-004-1	3	Medium			X
7/6/2010	NP10-137-000	WECC	NERC	NCRXXXXX	\$39,000		WECC200801087	CIP-001-1	1	Medium			X
7/6/2010	NP10-135-000	WECC	NERC	NCRXXXXX	\$8,000		WECC200901701	CIP-005-1	2	Medium			X
7/6/2010	NP10-125-000	RF	Covanta York Renewable Energy, LLC	NCR08064	\$7,500		RFC200900131	CIP-001-1	2	Medium			X
7/6/2010	NP10-125-000	RF	Covanta York Renewable Energy, LLC	NCR08064	\$7,500		RFC200900132	CIP-001-1	3	Medium			X
7/6/2010	NP10-125-000	RF	Covanta York Renewable Energy, LLC	NCR08064	\$7,500		RFC200900133	CIP-001-1	4	Medium			X
7/6/2010	NP10-136-000	WECC	NERC	NCRXXXXX	\$7,000		WECC200901681	CIP-004-1	3	Medium			X
7/6/2010	NP10-136-000	WECC	NERC	NCRXXXXX	\$7,000		WECC200901682	CIP-004-1	2	Lower			X
7/6/2010	NP10-140-000	RF	NERC	NCRXXXXX	\$5,600		RFC200900116	CIP-004-1	4	Lower			X
7/6/2010	NP10-140-000	RF	NERC	NCRXXXXX	\$5,600		RFC200900139	CIP-004-1	3.2	Lower			X
7/6/2010	NP10-138-000	RF	NERC	NCRXXXXX	\$5,000		RFC200900134	CIP-004-1	4	Medium			X
7/6/2010	NP10-131-000	SERC	NERC	NCRXXXXX	\$5,000		SERC200800211	CIP-004-1	4	Lower			X

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7/6/2010	NP10-139-000	WECC	NERC	NCRXXXXX	\$3,000		WECC200901275	CIP-003-1	2	Medium			X
7/6/2010	NP10-134-000	SPP RE	NERC	NCRXXXXX	\$0		SPP200800054	CIP-004-1	3	Lower			X
7/6/2010	NP10-130-000	SERC	NERC	NCRXXXXX	\$0		SERC200900264	CIP-004-1	4.2	Lower			X
6/2/2010	NP10-107-000	WECC	City of Burbank Water and Power	NCR05072	\$44,500		WECC200800722	CIP-001-1	1	Medium			X
6/2/2010	NP10-107-000	WECC	City of Burbank Water and Power	NCR05072	\$44,500		WECC200800723	CIP-001-1	2	Medium			X
6/2/2010	NP10-107-000	WECC	City of Burbank Water and Power	NCR05072	\$44,500		WECC200800724	CIP-001-1	3	Medium			X
6/2/2010	NP10-107-000	WECC	City of Burbank Water and Power	NCR05072	\$44,500		WECC200800725	CIP-001-1	4	Medium			X
6/2/2010	NP10-118-000	WECC	Public Utility District No. 1 of Whatcom County	NCR05522	\$20,000		WECC200710124	CIP-001-1	1	Medium			X
6/2/2010	NP10-118-000	WECC	Public Utility District No. 1 of Whatcom County	NCR05522	\$20,000		WECC200710125	CIP-001-1	2	Medium			X
6/2/2010	NP10-118-000	WECC	Public Utility District No. 1 of Whatcom County	NCR05522	\$20,000		WECC200710126	CIP-001-1	3	Medium			X
6/2/2010	NP10-118-000	WECC	Public Utility District No. 1 of Whatcom County	NCR05522	\$20,000		WECC200710127	CIP-001-1	4	Medium			X
4/28/2010	NP10-99-000	RF	Wolverine Power Supply Cooperative, Inc.	NCR00954	\$15,000		RFC200900144	CIP-001-1	1	Medium			X
3/31/2010	NP10-83-000	SERC	East Kentucky Power Cooperative	NCR01225	\$7,000		SERC200800204	CIP-001-1	1	Medium			X
3/31/2010	NP10-83-000	SERC	East Kentucky Power Cooperative	NCR01225	\$7,000		SERC200800205	CIP-001-1	2	Medium			X
3/31/2010	NP10-83-000	SERC	East Kentucky Power Cooperative	NCR01225	\$7,000		SERC200800206	CIP-001-1	3	Medium			X
3/31/2010	NP10-83-000	SERC	East Kentucky Power Cooperative	NCR01225	\$7,000		SERC200800207	CIP-001-1	4	Medium			X
3/31/2010	NP10-93-000	WECC	Modesto Irrigation District	NCR05244	\$0		WECC200800568	CIP-001-1	1	Medium			X
3/31/2010	NP10-93-000	WECC	Modesto Irrigation District	NCR05244	\$0		WECC200800569	CIP-001-1	2	Medium			X
3/31/2010	NP10-93-000	WECC	Modesto Irrigation District	NCR05244	\$0		WECC200800570	CIP-001-1	3	Medium			X
3/1/2010	NP10-67-000	WECC	City of Palo Alto	NCR05089	\$24,500		WECC200801107	CIP-001-1	1	Medium			X
3/1/2010	NP10-67-000	WECC	City of Palo Alto	NCR05089	\$24,500		WECC200801108	CIP-001-1	2	Medium			X
3/1/2010	NP10-67-000	WECC	City of Palo Alto	NCR05089	\$24,500		WECC200801109	CIP-001-1	3	Medium			X
3/1/2010	NP10-58-000	RF	EFS Parlin Holdings LLC	NCR10257	\$5,000		RFC200800114	CIP-001-1	2	Medium			X
3/1/2010	NP10-68-000	WECC	Energy Northwest - Energy Business Services	NCR00250	\$3,000		WECC200801186	CIP-001-1	1	Medium			X
3/1/2010	NP10-68-000	WECC	Energy Northwest - Energy Business Services	NCR00250	\$3,000		WECC200801187	CIP-001-1	2	Medium			X
3/1/2010	NP10-68-000	WECC	Energy Northwest - Energy Business Services	NCR00250	\$3,000		WECC200801188	CIP-001-1	3	Medium			X
3/1/2010	NP10-68-000	WECC	Energy Northwest - Energy Business Services	NCR00250	\$3,000		WECC200801189	CIP-001-1	4	Medium			X
3/1/2010	NP10-53-000	NPCC	Verso Bucksport LLC	NCR10239	\$2,500		NPCC200800056	CIP-001-1	1	Medium			X
3/1/2010	NP10-53-000	NPCC	Verso Bucksport LLC	NCR10239	\$2,500		NPCC200800057	CIP-001-1	2	Medium			X
3/1/2010	NP10-53-000	NPCC	Verso Bucksport LLC	NCR10239	\$2,500		NPCC200800058	CIP-001-1	4	Medium			X
3/1/2010	NP10-52-000	NPCC	Verso Androscoggin LLC	NCR07229	\$2,500		NPCC200800059	CIP-001-1	1	Medium			X
3/1/2010	NP10-52-000	NPCC	Verso Androscoggin LLC	NCR07229	\$2,500		NPCC200800060	CIP-001-1	2	Medium			X
3/1/2010	NP10-52-000	NPCC	Verso Androscoggin LLC	NCR07229	\$2,500		NPCC200800061	CIP-001-1	4	Medium			X
2/12/2010	NP10-50-000	SERC	Henderson Municipal Power & Light	NCR01254	\$35,000		SERC200800233	CIP-001-1	1	Medium			X
2/12/2010	NP10-50-000	SERC	Henderson Municipal Power & Light	NCR01254	\$35,000		SERC200800193	CIP-001-1	3	Medium			X
12/30/2009	NP10-28-000	SERC	Southwestern Electric Cooperative, Inc.	NCR01324	\$3,000		SERC200800202	CIP-001-1	4	Medium			X
11/13/2009	NP10-9-000	SERC	Westmoreland Partners	NCR0137	\$10,000		SERC200800109	CIP-001-1	1	Medium			X
11/13/2009	NP10-8-000	SERC	Union Power Partners, L.P.	NCR0135	\$10,000		SERC200800092	CIP-001-1	4	Medium			X
11/13/2009	NP10-13-000	NPCC	AES Westover, LLC	NCR07005	\$10,000		NPCC200800035	CIP-001-1	1	Medium			X
11/13/2009	NP10-13-000	NPCC	AES Westover, LLC	NCR07005	\$10,000		NPCC200800036	CIP-001-1	2	Medium			X
11/13/2009	NP10-13-000	NPCC	AES Westover, LLC	NCR07005	\$10,000		NPCC200800037	CIP-001-1	3	Medium			X
11/13/2009	NP10-13-000	NPCC	AES Westover, LLC	NCR07005	\$10,000		NPCC200800038	CIP-001-1	4	Medium			X
11/13/2009	NP10-12-000	NPCC	AES Somerset, LLC	NCR07004	\$10,000		NPCC200800033	CIP-001-1	1	Medium			X
11/13/2009	NP10-12-000	NPCC	AES Somerset, LLC	NCR07004	\$10,000		NPCC200800034	CIP-001-1	2	Medium			X
11/13/2009	NP10-11-000	NPCC	AES Greenidge, LLC	NCR07003	\$10,000		NPCC200800029	CIP-001-1	1	Medium			X
11/13/2009	NP10-11-000	NPCC	AES Greenidge, LLC	NCR07003	\$10,000		NPCC200800030	CIP-001-1	2	Medium			X
11/13/2009	NP10-11-000	NPCC	AES Greenidge, LLC	NCR07003	\$10,000		NPCC200800031	CIP-001-1	3	Medium			X
11/13/2009	NP10-11-000	NPCC	AES Greenidge, LLC	NCR07003	\$10,000		NPCC200800032	CIP-001-1	4	Medium			X
11/13/2009	NP10-10-000	NPCC	AES Cayuga, LLC	NCR07001	\$10,000		NPCC200800027	CIP-001-1	1	Medium			X
11/13/2009	NP10-10-000	NPCC	AES Cayuga, LLC	NCR07001	\$10,000		NPCC200800028	CIP-001-1	2	Medium			X
11/13/2009	NP10-17-000	WECC	Lincoln County Power District No. 1	NCR05220	\$2,000		WECC200800758	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	FRCC	City of Bartow	NCR00003	\$0		FRCC200800052	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	FRCC	City of Bartow	NCR00003	\$0		FRCC200800053	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	FRCC	City of Bartow	NCR00003	\$0		FRCC200800054	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	FRCC	City of Bartow	NCR00003	\$0		FRCC200800055	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	FRCC	Florida Public Utilities Company	NCR00025	\$0		FRCC200800097	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	FRCC	Florida Public Utilities Company	NCR00025	\$0		FRCC200800098	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	FRCC	Florida Public Utilities Company	NCR00025	\$0		FRCC200800099	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	FRCC	Florida Public Utilities Company	NCR00025	\$0		FRCC200800100	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	FRCC	Hardee Power Partners Limited	NCR00035	\$0		FRCC200800056	CIP-001-1	4	Medium			X

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10/14/2009	NP10-2-000	FRCC	New Hope Power Partnership	NCR00051	\$0		FRCC200700025	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	FRCC	New Hope Power Partnership	NCR00051	\$0		FRCC200700066	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	FRCC	New Hope Power Partnership	NCR00051	\$0		FRCC200700067	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	FRCC	New Hope Power Partnership	NCR00051	\$0		FRCC200700068	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	RF	Cloverland Electric Cooperative	NCR00724	\$0		RFC200700008	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	RF	Cloverland Electric Cooperative	NCR00724	\$0		RFC200700010	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	RF	Cloverland Electric Cooperative	NCR00724	\$0		RFC200700011	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	RF	Cloverland Electric Cooperative	NCR00724	\$0		RFC200700012	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	RF	Illinois Municipal Electric Agency	NCR00795	\$0		RFC200700038	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	RF	Illinois Municipal Electric Agency	NCR00795	\$0		RFC200700039	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	RF	Illinois Municipal Electric Agency	NCR00795	\$0		RFC200700040	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	RF	Illinois Municipal Electric Agency	NCR00795	\$0		RFC200700041	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	Central Lincoln People's Utility District	NCR05062	\$0		WECC200810225	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	City of Pasadena Water and Power	NCR05090	\$0		WECC200801590	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	City of Pasadena Water and Power	NCR05090	\$0		WECC200801591	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	City of Pasadena Water and Power	NCR05090	\$0		WECC200801592	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	City of Pasadena Water and Power	NCR05090	\$0		WECC200801593	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	City of Roseville	NCR05094	\$0		WECC200700631	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	City of Roseville	NCR05094	\$0		WECC200700632	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	City of Roseville	NCR05094	\$0		WECC200700633	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	City of Roseville	NCR05094	\$0		WECC200700634	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	City of Shasta Lake	NCR05095	\$0		WECC200801052	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	City of Shasta Lake	NCR05095	\$0		WECC200801053	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	City of Shasta Lake	NCR05095	\$0		WECC200801054	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	City of Shasta Lake	NCR05095	\$0		WECC200801055	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	Clatskanie People's Utility District	NCR05100	\$0		WECC200801178	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	Clatskanie People's Utility District	NCR05100	\$0		WECC200801179	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	Clatskanie People's Utility District	NCR05100	\$0		WECC200801180	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	Clatskanie People's Utility District	NCR05100	\$0		WECC200801181	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	Colorado River Commission of Nevada	NCR05105	\$0		WECC200700307	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	Colorado River Commission of Nevada	NCR05105	\$0		WECC200700308	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	Colorado River Commission of Nevada	NCR05105	\$0		WECC200700309	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	Colorado River Commission of Nevada	NCR05105	\$0		WECC200700310	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	Coos-Curry Electric Cooperative, Inc.	NCR05116	\$0		WECC200810377	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	Cowlitz County PUD No. 1	NCR05123	\$0		WECC200810255	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	Deseret Generation & Transmission Co-operative	NCR05127	\$0		WECC200710053	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	Elmhurst Mutual Power & Light Company	NCR05144	\$0		WECC200700196	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	Elmhurst Mutual Power & Light Company	NCR05144	\$0		WECC200700197	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	Elmhurst Mutual Power & Light Company	NCR05144	\$0		WECC200700198	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	Elmhurst Mutual Power & Light Company	NCR05144	\$0		WECC200700199	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	Emerald People's Utility District	NCR05146	\$0		WECC200700200	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	Emerald People's Utility District	NCR05146	\$0		WECC200801585	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	Emerald People's Utility District	NCR05146	\$0		WECC200801586	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	Emerald People's Utility District	NCR05146	\$0		WECC200801587	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	Grays Harbor County PUD	NCR05172	\$0		WECC200700042	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	Grays Harbor County PUD	NCR05172	\$0		WECC200700043	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	Grays Harbor County PUD	NCR05172	\$0		WECC200700044	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	Grays Harbor County PUD	NCR05172	\$0		WECC200700045	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	Hetch Hetchy Water and Power	NCR05182	\$0		WECC200810199	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	Hetch Hetchy Water and Power	NCR05182	\$0		WECC200810202	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	High Desert Power Project, LLC	NCR05184	\$0		WECC200801564	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	High Desert Power Project, LLC	NCR05184	\$0		WECC200801565	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	High Desert Power Project, LLC	NCR05184	\$0		WECC200801566	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	High Desert Power Project, LLC	NCR05184	\$0		WECC200801567	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	Incorporated County of Los Alamos (LAC)	NCR05196	\$0		WECC200810275	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	Incorporated County of Los Alamos (LAC)	NCR05196	\$0		WECC200810276	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	Incorporated County of Los Alamos (LAC)	NCR05196	\$0		WECC200810277	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	Incorporated County of Los Alamos (LAC)	NCR05196	\$0		WECC200810278	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	Lassen Municipal Utility District	NCR05216	\$0		WECC200801568	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	Mason County PUD No. 3	NCR05233	\$0		WECC200700082	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	Mason County PUD No. 3	NCR05233	\$0		WECC200700083	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	Mason County PUD No. 3	NCR05233	\$0		WECC200700084	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	Mason County PUD No. 3	NCR05233	\$0		WECC200700085	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	Missoula Electric Cooperative, Inc.	NCR05242	\$0		WECC200700319	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	Missoula Electric Cooperative, Inc.	NCR05242	\$0		WECC200700320	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	Missoula Electric Cooperative, Inc.	NCR05242	\$0		WECC200700321	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	Missoula Electric Cooperative, Inc.	NCR05242	\$0		WECC200700322	CIP-001-1	4	Medium			X

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10/14/2009	NP10-2-000	WECC	Navapache Electric Cooperative, Inc.	NCR05260	\$0		WECC200800772	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	Navapache Electric Cooperative, Inc.	NCR05260	\$0		WECC200800773	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	Navapache Electric Cooperative, Inc.	NCR05260	\$0		WECC200800774	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	Navapache Electric Cooperative, Inc.	NCR05260	\$0		WECC200800775	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	Northern Wasco County People's Utility District	NCR05280	\$0		WECC200710168	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	Northern Wasco County People's Utility District	NCR05280	\$0		WECC200710169	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	Northern Wasco County People's Utility District	NCR05280	\$0		WECC200710171	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	Northern Wasco County People's Utility District	NCR05280	\$0		WECC200710173	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	Parkland Light and Water Company	NCR05314	\$0		WECC200810297	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	Parkland Light and Water Company	NCR05314	\$0		WECC200810298	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	Parkland Light and Water Company	NCR05314	\$0		WECC200810299	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	Peninsula Light Company, Inc.	NCR05316	\$0		WECC200700344	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	Peninsula Light Company, Inc.	NCR05316	\$0		WECC200700345	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	Peninsula Light Company, Inc.	NCR05316	\$0		WECC200700346	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	Peninsula Light Company, Inc.	NCR05316	\$0		WECC200700347	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	Port of Oakland	NCR05324	\$0		WECC200700515	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	Port of Oakland	NCR05324	\$0		WECC200700516	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	Port of Oakland	NCR05324	\$0		WECC200700517	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	Port of Oakland	NCR05324	\$0		WECC200700518	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	Public Utility District No. 1 of Benton County	NCR05337	\$0		WECC200700032	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	Public Utility District No. 1 of Benton County	NCR05337	\$0		WECC200700033	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	Public Utility District No. 1 of Benton County	NCR05337	\$0		WECC200700034	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	Public Utility District No. 1 of Benton County	NCR05337	\$0		WECC200700035	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	Rosebud Operating Services, Inc.	NCR05367	\$0		WECC200801169	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	Rosebud Operating Services, Inc.	NCR05367	\$0		WECC200801170	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	Sacramento Municipal Utility District	NCR05368	\$0		WECC200710010	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	Sierra Pacific Industries	NCR05389	\$0		WECC200801137	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	Sierra Pacific Industries	NCR05389	\$0		WECC200801138	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	Sierra Pacific Industries	NCR05389	\$0		WECC200801139	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	Sierra Pacific Industries	NCR05389	\$0		WECC200801140	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	Springfield Utility Board	NCR05405	\$0		WECC200710065	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	Tillamook People's Utility District	NCR05427	\$0		WECC200700239	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	Tillamook People's Utility District	NCR05427	\$0		WECC200700240	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	Tillamook People's Utility District	NCR05427	\$0		WECC200700241	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	Tillamook People's Utility District	NCR05427	\$0		WECC200700242	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	Tri-Dam Project of the Oakdale and South Joaquin Irrigation Districts	NCR05431	\$0		WECC200801571	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	Tri-Dam Project of the Oakdale and South Joaquin Irrigation Districts	NCR05431	\$0		WECC200801572	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	Tri-Dam Project of the Oakdale and South Joaquin Irrigation Districts	NCR05431	\$0		WECC200801573	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	Tri-Dam Project of the Oakdale and South Joaquin Irrigation Districts	NCR05431	\$0		WECC200801574	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	United Electric Co-op, Inc.	NCR05437	\$0		WECC200710172	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	United Electric Co-op, Inc.	NCR05437	\$0		WECC200710174	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	United Electric Co-op, Inc.	NCR05437	\$0		WECC200710176	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	United Electric Co-op, Inc.	NCR05437	\$0		WECC200710178	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	Wells Rural Electric Company	NCR05458	\$0		WECC200710114	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	Wells Rural Electric Company	NCR05458	\$0		WECC200710116	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	Wells Rural Electric Company	NCR05458	\$0		WECC200710117	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	Wells Rural Electric Company	NCR05458	\$0		WECC200710118	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	City of Healdsburg	NCR05491	\$0		WECC200700453	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	City of Healdsburg	NCR05491	\$0		WECC200700454	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	City of Healdsburg	NCR05491	\$0		WECC200700455	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	City of Healdsburg	NCR05491	\$0		WECC200700456	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	City of Ukiah	NCR05494	\$0		WECC200800622	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	City of Ukiah	NCR05494	\$0		WECC200800623	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	City of Ukiah	NCR05494	\$0		WECC200800624	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	City of Ukiah	NCR05494	\$0		WECC200800661	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	Kings River Conservation District	NCR05505	\$0		WECC200801144	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	Public Service Company of Colorado	NCR05521	\$0		WECC200700395	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	TransAlta Centralia Generation, LLC	NCR05533	\$0		WECC200700507	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	TransAlta Centralia Generation, LLC	NCR05533	\$0		WECC200700508	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	TransAlta Centralia Generation, LLC	NCR05533	\$0		WECC200700509	CIP-001-1	3	Medium			X

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10/14/2009	NP10-2-000	WECC	TransAlta Centralia Generation, LLC	NCR05533	\$0		WECC200700510	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	Vigilante Electric Cooperative, Inc.	NCR05541	\$0		WECC200801580	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	Vigilante Electric Cooperative, Inc.	NCR05541	\$0		WECC200801581	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	Vigilante Electric Cooperative, Inc.	NCR05541	\$0		WECC200801582	CIP-001-1	4	Medium			X
10/14/2009	NP10-2-000	WECC	Alameda Municipal Power	NCR10042	\$0		WECC200801048	CIP-001-1	1	Medium			X
10/14/2009	NP10-2-000	WECC	Alameda Municipal Power	NCR10042	\$0		WECC200801049	CIP-001-1	2	Medium			X
10/14/2009	NP10-2-000	WECC	Alameda Municipal Power	NCR10042	\$0		WECC200801050	CIP-001-1	3	Medium			X
10/14/2009	NP10-2-000	WECC	Alameda Municipal Power	NCR10042	\$0		WECC200801051	CIP-001-1	4	Medium			X
9/25/2009	NP09-46-000	WECC	Truckee Donner Public Utility District	NCR05433	\$3,000		WECC200801227	CIP-001-1	2	Medium			X
7/31/2009	NP09-34-000	NPCC	Ashburnham Municipal Light Plant	NCR07010	\$0		NPCC200800023	CIP-001-1	1	Medium			X
7/31/2009	NP09-34-000	NPCC	Ashburnham Municipal Light Plant	NCR07010	\$0		NPCC200800024	CIP-001-1	2	Medium			X
7/31/2009	NP09-34-000	NPCC	Ashburnham Municipal Light Plant	NCR07010	\$0		NPCC200800025	CIP-001-1	3	Medium			X
7/31/2009	NP09-34-000	NPCC	Ashburnham Municipal Light Plant	NCR07010	\$0		NPCC200800026	CIP-001-1	4	Medium			X
7/10/2009	NP09-30-000	Texas RE	BTU QSE Services Inc.	NCR04024	\$5,000		TRE200800030	CIP-001-1	1	Medium			X
7/10/2009	NP09-30-000	Texas RE	BTU QSE Services Inc.	NCR04024	\$5,000		TRE200800031	CIP-001-1	3	Medium			X
7/10/2009	NP09-32-000	SPP RE	Eastman Cogeneration Limited Partnership	NCR01092	\$0		SP200700018	CIP-001-1	1	Medium			X
7/10/2009	NP09-32-000	SPP RE	Eastman Cogeneration Limited Partnership	NCR01092	\$0		SP200700019	CIP-001-1	4	Medium			X
5/4/2009	NP09-23-000	MRO	NorthWestern Energy	NCR01021	\$0		MRO200700027	CIP-001-1	1	Medium			X
5/4/2009	NP09-23-000	MRO	NorthWestern Energy	NCR01021	\$0		MRO200700028	CIP-001-1	2	Medium			X
5/4/2009	NP09-23-000	MRO	NorthWestern Energy	NCR01021	\$0		MRO200700029	CIP-001-1	3	Medium			X
5/4/2009	NP09-23-000	MRO	NorthWestern Energy	NCR01021	\$0		MRO200700030	CIP-001-1	4	Medium			X
5/4/2009	NP09-22-000	MRO	Escanaba Municipal Electric Authority	NCR00982	\$0		MRO200700023	CIP-001-1	1	Medium			X
5/4/2009	NP09-22-000	MRO	Escanaba Municipal Electric Authority	NCR00982	\$0		MRO200700024	CIP-001-1	2	Medium			X
5/4/2009	NP09-22-000	MRO	Escanaba Municipal Electric Authority	NCR00982	\$0		MRO200700025	CIP-001-1	3	Medium			X
5/4/2009	NP09-22-000	MRO	Escanaba Municipal Electric Authority	NCR00982	\$0		MRO200700026	CIP-001-1	4	Medium			X
3/31/2009	NP09-17-000	SERC	FPL Energy, LLC	NCR01243	\$250,000		SERC200810007	CIP-001-1	1	Medium			X
3/31/2009	NP09-17-000	SERC	FPL Energy, LLC	NCR01243	\$250,000		SERC200810008	CIP-001-1	2	Medium			X
6/5/2008	NP08-31-000	SERC	N.C. Power Holdings, Inc. - Lumberton Power	NCR08085	\$0		SERC200700079	CIP-001-1	1	Medium			X
6/5/2008	NP08-31-000	SERC	N.C. Power Holdings, Inc. - Lumberton Power	NCR08085	\$0		SERC200700080	CIP-001-1	2	Medium			X
6/5/2008	NP08-31-000	SERC	N.C. Power Holdings, Inc. - Lumberton Power	NCR08085	\$0		SERC200700081	CIP-001-1	3	Medium			X
6/5/2008	NP08-31-000	SERC	N.C. Power Holdings, Inc. - Lumberton Power	NCR08085	\$0		SERC200700082	CIP-001-1	4	Medium			X
6/5/2008	NP08-30-000	SERC	City of Orangeburg Dept. of Public Utilities	NCR01202	\$0		SERC200700054	CIP-001-1	1	Medium			X
6/5/2008	NP08-30-000	SERC	City of Orangeburg Dept. of Public Utilities	NCR01202	\$0		SERC200700055	CIP-001-1	2	Medium			X
6/5/2008	NP08-30-000	SERC	City of Orangeburg Dept. of Public Utilities	NCR01202	\$0		SERC200700056	CIP-001-1	3	Medium			X
6/5/2008	NP08-30-000	SERC	City of Orangeburg Dept. of Public Utilities	NCR01202	\$0		SERC200700057	CIP-001-1	4	Medium			X
6/5/2008	NP08-28-000	SERC	N.C. Power Holdings, Inc. - Elizabethtown Power	NCR08084	\$0		SERC200700074	CIP-001-1	1	Medium			X
6/5/2008	NP08-28-000	SERC	N.C. Power Holdings, Inc. - Elizabethtown Power	NCR08084	\$0		SERC200700075	CIP-001-1	2	Medium			X
6/5/2008	NP08-28-000	SERC	N.C. Power Holdings, Inc. - Elizabethtown Power	NCR08084	\$0		SERC200700076	CIP-001-1	3	Medium			X
6/5/2008	NP08-28-000	SERC	N.C. Power Holdings, Inc. - Elizabethtown Power	NCR08084	\$0		SERC200700077	CIP-001-1	4	Medium			X
6/5/2008	NP08-25-000	SERC	Tex-LA Electric Coop of Texas, Inc.	NCR01342	\$0		SERC200700035	CIP-001-1	1	Medium			X
6/5/2008	NP08-25-000	SERC	Tex-LA Electric Coop of Texas, Inc.	NCR01342	\$0		SERC200700036	CIP-001-1	2	Medium			X
6/5/2008	NP08-25-000	SERC	Tex-LA Electric Coop of Texas, Inc.	NCR01342	\$0		SERC200700037	CIP-001-1	3	Medium			X
6/5/2008	NP08-25-000	SERC	Tex-LA Electric Coop of Texas, Inc.	NCR01342	\$0		SERC200700038	CIP-001-1	4	Medium			X
6/5/2008	NP08-24-000	SERC	Mt. Carmel Public Utility Co.	NCR01277	\$0		SERC200700062	CIP-001-1	4	Medium			X
6/5/2008	NP08-22-000	SERC	Sam Rayburn G&T Electric Cooperative, Inc.	NCR01307	\$0		SERC200700027	CIP-001-1	1	Medium			X
6/5/2008	NP08-22-000	SERC	Sam Rayburn G&T Electric Cooperative, Inc.	NCR01307	\$0		SERC200700028	CIP-001-1	2	Medium			X
6/5/2008	NP08-22-000	SERC	Sam Rayburn G&T Electric Cooperative, Inc.	NCR01307	\$0		SERC200700029	CIP-001-1	3	Medium			X
6/5/2008	NP08-22-000	SERC	Sam Rayburn G&T Electric Cooperative, Inc.	NCR01307	\$0		SERC200700030	CIP-001-1	4	Medium			X
6/5/2008	NP08-20-000	SERC	Doyle I, LLC	NCR01216	\$0		SERC200700012	CIP-001-1	4	Medium			X
6/5/2008	NP08-19-000	SERC	West Georgia Generating Company, LLC	NCR01368	\$0		SERC200700065	CIP-001-1	4	Medium			X
6/4/2008	NP08-9-000	SPP RE	Southwestern Public Service Co. (SPS-XCEL)	NCR01145	\$0		SP200700006	CIP-001-1	2	Medium			X
6/4/2008	NP08-8-000	NPCC	Peabody Municipal Light Plant	NCR07191	\$0		NPCC200700015	CIP-001-1	1	Medium			X
6/4/2008	NP08-8-000	NPCC	Peabody Municipal Light Plant	NCR07191	\$0		NPCC200700016	CIP-001-1	2	Medium			X
6/4/2008	NP08-8-000	NPCC	Peabody Municipal Light Plant	NCR07191	\$0		NPCC200700017	CIP-001-1	3	Medium			X
6/4/2008	NP08-8-000	NPCC	Peabody Municipal Light Plant	NCR07191	\$0		NPCC200700018	CIP-001-1	4	Medium			X
6/4/2008	NP08-18-000	Texas RE	Topaz Power Management LP (QSE)	NCR04147	\$0		TRE200800028	CIP-001-1	1	Medium			X
6/4/2008	NP08-17-000	SERC	East Texas Electric Cooperative, Inc.	NCR01227	\$0		SERC200700031	CIP-001-1	1	Medium			X
6/4/2008	NP08-17-000	SERC	East Texas Electric Cooperative, Inc.	NCR01227	\$0		SERC200700032	CIP-001-1	2	Medium			X
6/4/2008	NP08-17-000	SERC	East Texas Electric Cooperative, Inc.	NCR01227	\$0		SERC200700033	CIP-001-1	3	Medium			X

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6/4/2008	NP08-17-000	SERC	East Texas Electric Cooperative, Inc.	NCR01227	\$0		SERC200700034	CIP-001-1	4	Medium			X
6/4/2008	NP08-16-000	MRO	Northern States Power	NCR01020	\$0		MRO200700004	CIP-001-1	2	Medium			X
6/4/2008	NP08-15-000	SERC	Illinois Municipal Electric Agency	NCR00795	\$0		SERC200700058	CIP-001-1	1	Medium			X
6/4/2008	NP08-15-000	SERC	Illinois Municipal Electric Agency	NCR00795	\$0		SERC200700059	CIP-001-1	2	Medium			X
6/4/2008	NP08-15-000	SERC	Illinois Municipal Electric Agency	NCR00795	\$0		SERC200700060	CIP-001-1	3	Medium			X
6/4/2008	NP08-15-000	SERC	Illinois Municipal Electric Agency	NCR00795	\$0		SERC200700061	CIP-001-1	4	Medium			X
6/4/2008	NP08-13-000	NPCC	Norwich Public Utilities	NCR07038	\$0		NPCC200700019	CIP-001-1	1	Medium			X
6/4/2008	NP08-13-000	NPCC	Norwich Public Utilities	NCR07038	\$0		NPCC200700020	CIP-001-1	2	Medium			X
6/4/2008	NP08-13-000	NPCC	Norwich Public Utilities	NCR07038	\$0		NPCC200700021	CIP-001-1	3	Medium			X
6/4/2008	NP08-13-000	NPCC	Norwich Public Utilities	NCR07038	\$0		NPCC200700022	CIP-001-1	4	Medium			X
6/4/2008	NP08-12-000	Texas RE	Suez Energy Marketing NA Inc	NCR04129	\$0		TRE200700011	CIP-001-1	1	Medium			X
6/4/2008	NP08-12-000	Texas RE	Suez Energy Marketing NA Inc	NCR04129	\$0		TRE200700012	CIP-001-1	2	Medium			X
6/4/2008	NP08-12-000	Texas RE	Suez Energy Marketing NA Inc	NCR04129	\$0		TRE200700013	CIP-001-1	3	Medium			X
6/4/2008	NP08-12-000	Texas RE	Suez Energy Marketing NA Inc	NCR04129	\$0		TRE200700014	CIP-001-1	4	Medium			X
6/4/2008	NP08-11-000	NPCC	The City of Holyoke Gas and Electric Dept.	NCR07217	\$0		NPCC200700011	CIP-001-1	1	Medium			X
6/4/2008	NP08-11-000	NPCC	The City of Holyoke Gas and Electric Dept.	NCR07217	\$0		NPCC200700012	CIP-001-1	2	Medium			X
6/4/2008	NP08-11-000	NPCC	The City of Holyoke Gas and Electric Dept.	NCR07217	\$0		NPCC200700013	CIP-001-1	3	Medium			X
6/4/2008	NP08-11-000	NPCC	The City of Holyoke Gas and Electric Dept.	NCR07217	\$0		NPCC200700014	CIP-001-1	4	Medium			X